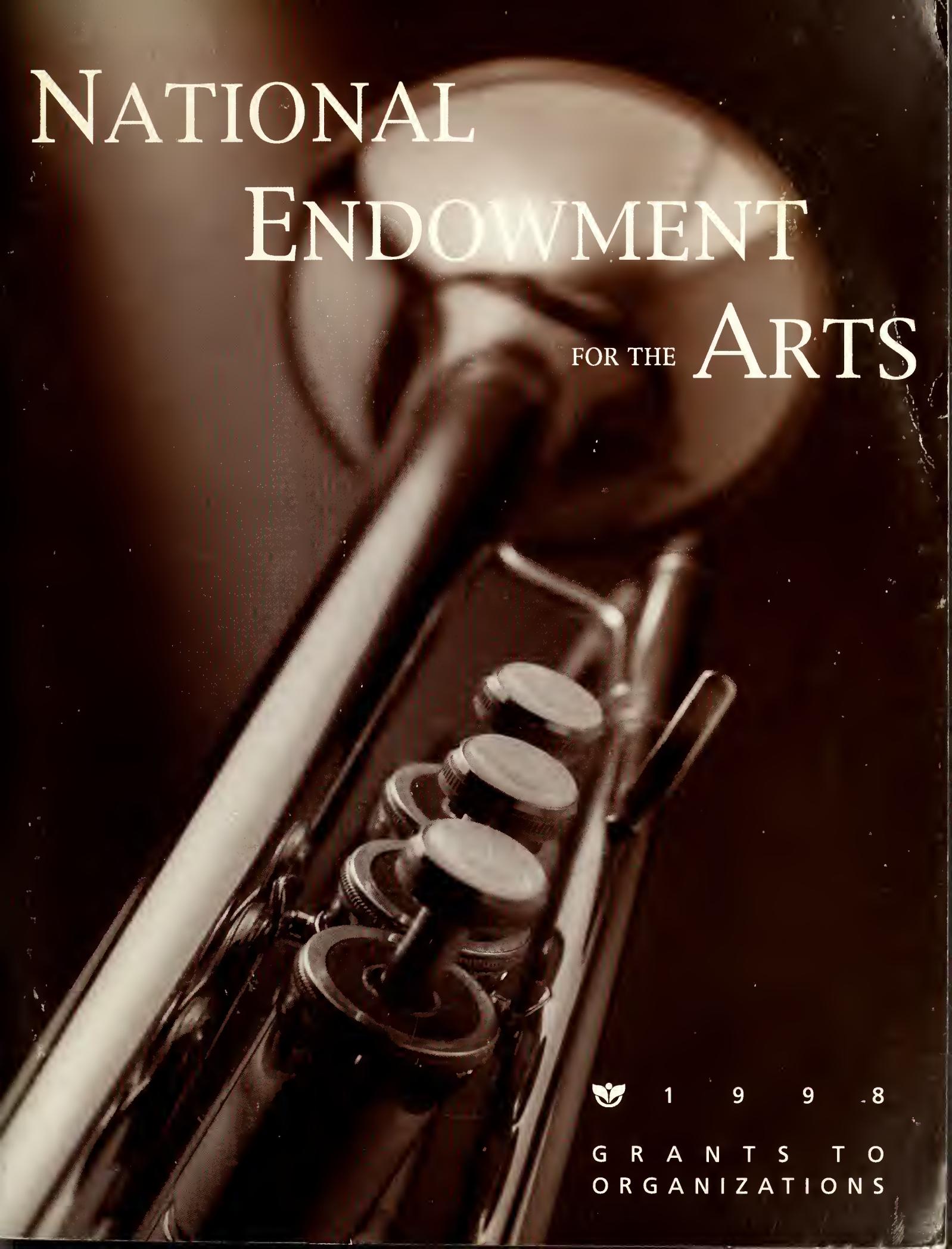


NATIONAL ENDOWMENT FOR THE ARTS



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GRANTS TO
ORGANIZATIONS

Application Calendar

Category	Application Postmark Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Project Beginning Date
Heritage & Preservation	April 1, 1997	January 1998	February 1, 1998
Education & Access	April 7, 1997	February 1998	March 1, 1998
Creation & Presentation	April 16, 1997	March 1998	May 1, 1998
Planning & Stabilization	April 30, 1997	March 1998	May 1, 1998

Late applications and applications that are determined to be incomplete will be rejected.

The Arts Endowment will not accept any application material by electronic transmission (e.g., FAX or E-mail) unless requested by Arts Endowment staff.

THESE GUIDELINES REFLECT THE ARTS ENDOWMENT'S NEW GRANTMAKING STRUCTURE. CHANGES HAVE BEEN MADE SINCE LAST YEAR. PLEASE READ THESE GUIDELINES CAREFULLY.

If you have questions, please contact:

National Endowment for the Arts
 Nancy Hanks Center
 1100 Pennsylvania Avenue, N.W.
 Washington, DC 20506-0001

202/682-5400

World Wide Web site at <http://arts.endow.gov>



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print should contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring a cassette recording of these guidelines.

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Mission

The National Endowment for the Arts is the Federal grantmaking agency that Congress created to support the visual, literary, design and performing arts, to benefit all Americans. The Arts Endowment's mission is twofold:

- * To foster the excellence, diversity and vitality of the arts in the United States, and
- * To broaden public access to the arts.

Introduction

The National Endowment for the Arts, as the central source of Federal funding for the arts in America, is privileged to review the breadth and depth of American artistic creativity in all of its diversity. In cities, towns and rural areas in every region, Americans are making, teaching and caring for a treasury of art that is the envy of the world.

The Arts Endowment offers Grants to Organizations in four categories:

- **Heritage & Preservation**
- **Education & Access**
- **Creation & Presentation**
- **Planning & Stabilization**

These four categories are described in this booklet. In addition, the Endowment considers applications for:

- **Partnership Agreements** that assist the state and jurisdictional arts agencies and their regional organizations in carrying out arts plans that benefit artists, arts organizations, arts education efforts, and communities. The Partnership Agreements are described in a separate guideline booklet. The FY 1998 guidelines will be available by April 1997.
- **Leadership Initiatives** that will significantly advance the arts. For additional information, please call 202/682-5489 after June 1997.

Congress has prohibited the Arts Endowment from making direct grants to individuals except for Literature Fellowships, American Jazz Masters, and National Heritage Fellowships in the Folk & Traditional Arts. Literature Fellowships guidelines (for prose) will be available by January 1997; information on the other two areas will be available by April 1997.

The remainder of this booklet discusses Grants to Organizations. All potential applicants should read it carefully. We recognize that many organizations will have questions. This continues to be a transition period for all of us. We welcome your calls, but urge you to familiarize yourself with this material first. For general background information on the Arts Endowment, call 202/682-5400 or refer to our World Wide Web site at <http://arts.endow.gov>. It features current information on the agency, a list of Arts Endowment publications, articles on art and culture, links to other arts sites, and an arts information resource center.

Introduction (continued)

If you have specific questions about your application, **please contact the staff for the discipline/field which is most appropriate for your project.** (See the instructions under "Discipline/Field" on pages 59-60 for details.) If you have a question that relates to the more technical aspects of the Planning & Stabilization category (e.g., a question on cash reserves or endowments), you may want to call that office (202/682-5480 or 682-5411).

Arts Education (pre-K through 12)	202/682-5515 or 682-5563
Dance (including dance presentation)	202/682-5452
Design	202/682-5550 or 682-5678
Folk & Traditional Arts	202/682-5724 or 682-5727
Literature	202/682-5730 or 682-5787
Local Arts Agencies (including state-wide assemblies)	202/682-5581 or 682-5586
Media Arts (including broadcast projects and documentaries on any art form)	202/682-5452
Multidisciplinary	202/682-5658 or 682-5429
Museums	202/682-5452
Music (including music presentation)	202/682-5599, 682-5590, or 682-5600
Musical Theater	202/682-5510 or 682-5509
Opera	202/682-5599 or 682-5600
Presenting (multidisciplinary presentation only)	202/682-5599 or 682-5591
Theater (A through M)	202/682-5510 or 682-5509
Theater (N through Z)	202/682-5510 or 682-5020
Visual Arts (including public art projects)	202/682-5452

Grants to Organizations

The Arts Endowment continues to offer assistance for a full range of arts disciplines and types and sizes of organizations that are involved in the arts. **The Endowment remains committed to supporting equitable opportunity for all and investing in as diverse a reflection of our society as possible, including works of all cultures and periods.**

All applications must be for specific projects. Each organization (with the few exceptions that are detailed below) may submit only one application under only one of the categories that are included in these guidelines. Grants will be awarded under the four categories: Heritage & Preservation, Education & Access, Creation & Presentation, and Planning & Stabilization. Each of these categories is described in more detail later in this booklet. While a project may relate to more than one category, applicants should apply to the one that is most relevant to the goals of their project.

Please be aware that while the Endowment welcomes projects that address both of the areas in each category (e.g., a project that addresses both Planning and Stabilization), this is not required. A proposal that addresses only one of the areas is entirely eligible and valid; e.g., a proposal may address only Heritage, or only Preservation; only Education, or only Access; only Creation, or only Presentation; only Planning, or only Stabilization.

The Endowment urges organizations that apply under these guidelines to assist and involve artists in all possible ways, and to reflect this involvement in their applications.

Eligibility/All Applicants

Nonprofit tax-exempt organizations may apply. Applicants may be arts institutions, local arts agencies, arts service organizations, tribal communities and Indian tribes*, official units of city governments, and other organizations that can further the goals of the Arts Endowment as outlined in the mission statement. Consortia of such organizations are also eligible.

*Tribal communities and Indian tribes include any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. § 1601 et seq.] which is recognized as eligible for the special programs and services that are provided by the United States to Indians because of their status as Indians.

All applicant organizations must:

- Meet the “Legal Requirements” on page 32. [An organization that does not have its own nonprofit status **but otherwise meets the criteria for eligibility** may apply through an eligible nonprofit fiscal agent or umbrella organization which is willing to assume full administrative and legal responsibility for the grant.]
- Have a four-year history of programming prior to the application deadline, except for folk & traditional arts organizations.
- Have professional staff that can devote the time and effort that are required to accomplish the proposed project.

and

- For **orchestras and opera companies**, have an annual operating expenditure level of at least \$100,000.
- For **local arts agencies** (LAAs), be an arts council, commission, or 501(c)(3) organization that is designated to operate on behalf of its local government or operating unit of city or county government. **Applicants must submit one of the following** (see page 34):
 - City/county ordinance.
 - City/county resolution.
 - Contract with city/county government.
 - City/county charter.

LAAs also **must** provide planning, financial support, services, and development for arts organizations and artists in a community or communities and involve, on a regular basis, programming in more than one art form.

- For **former grantees**, meet the “Reporting Requirements” on page 29.
- For **Planning & Stabilization applicants**, meet the additional eligibility requirements that are outlined on page 22.

An organization whose primary purpose is to channel resources (financial, human, or other) to an affiliated organization is not eligible to apply if the affiliated organization submits its own application. This prohibition applies even if each organization has its own 501(c)(3) status. For example, the “Friends of the ABC Museum” may not apply if the ABC Museum applies.

The 56 designated state arts agencies (SAAs) and their seven regional arts organizations (RAOs) are not eligible for funding under these guidelines. SAAs and RAOs may participate in consortium projects that are funded under these guidelines as long as they do not receive any Arts Endowment funds for their participation. See page 8 for details on consortia.

Eligibility/Components

An organization may submit only one application, for a single project, under this guideline booklet.

However, an organization that comprises separately identifiable and independent components (a "parent organization") may submit a separate application for each such component that meets the following criteria. The component must:

- Be a unit that is both programmatically and administratively distinct from the parent organization.
- Have its own budget.
- Have an independent board of trustees, editorial board, or other formal advisory group that has significant responsibility for oversight and management, including programming oversight. This board/advisory group must have been in existence for at least four years at the time of application and may not be identical to the board of the parent organization. The chairperson of the component's board/advisory group may not be the same as the chairperson of the board of the parent organization. [NOTE: Consideration will be given to the special case of colleges and universities that have independent components whose formal governance is by a common university board of trustees, regents, etc. Such entities may qualify if they demonstrate programmatic and administrative autonomy and meet the other requirements.]
- Have professional staff (e.g., artistic director, editor, or director of programming) whose responsibilities are directed primarily to the component unit.

Independent components that meet these criteria often will be part of a university/university system or part of a cultural/community complex. Examples might include:

- A presenter, literary magazine or press, museum, radio station, theater, etc., within a university campus or larger university system. Academic departments of colleges and universities will not qualify as independent components.
- A distinct component (opera company, dance company, orchestra, media division, museum, theater company, etc.) of a larger cultural/community complex. A cultural/community center may submit one application for its own project in addition to applying on behalf of its eligible component(s) as long as the applications are for totally separate and distinct activities.

The Arts Endowment encourages applicants to discuss eligibility with Endowment staff before submitting an application on behalf of an independent component. (See the telephone list on page 4; call the discipline/field which is appropriate for your project.)

Any application on behalf of an independent component must be authorized by and submitted under the name of the parent organization. By signing the application form, the authorizing official certifies that the component meets the criteria on the previous page. The Arts Endowment requires applicants to submit specific information to substantiate the independence of the component as part of the application package. The Endowment reserves the right to determine whether or not a component is sufficiently independent based on the information that the applicant provides in its application package.

The application form must be submitted by the 501(c)(3) organization. The application information (e.g., on budget, personnel, etc.) must refer to the component only, unless the instructions for a particular item specifically ask for information on the parent institution.

Eligibility/Fiscal Agents

A fiscal agent is an organization that applies on behalf of some other, distinctly separate organization that does not have its own nonprofit status. The fiscal agent must meet the eligibility requirements for all applicants that are outlined on pages 5-6, and must assume full administrative, programmatic, financial, and legal responsibility for any grant that may be awarded.

The organization that actually carries out the project, i.e., the organization on whose behalf the application is submitted, must meet all of the eligibility criteria on pages 5-6 with the exception of having nonprofit 501(c)(3) status.

Fiscal agents may not apply on behalf of individual artists or commercial, for-profit organizations. A parent organization that wishes to apply on behalf of one of its components must apply as outlined under "Eligibility/Components" on the previous page and **not** as a fiscal agent.

A nonprofit organization that is acting as a fiscal agent for one or more other organizations may submit a separate application for each such group as well as one application on its own behalf. While a fiscal agent's costs of serving in that capacity may be included in the proposed budget, the Endowment expects that most of the grant funds will be designated for the organization on whose behalf the fiscal agent has applied.

Eligibility/Consortia

A consortium is a partnership of two or more individually identified organizations that undertake a shared project which requires combined resources of capital and human talent; that is, a partnership wherein the members jointly conceive and execute the project.

In addition to submitting an application on its own behalf, an eligible organization may serve as either the lead applicant or as a consortium member (as defined in #2 below) in one consortium application. Each application must be for a different project.

Reviewers will look at consortium projects closely for evidence that the proposed project was developed carefully by the group and not created with the primary intention of securing Endowment funds.

Each consortium must have:

1. **A lead applicant.** This lead organization must meet all of the eligibility requirements that are outlined on pages 5-6. The lead organization submits the application; accepts administrative, programmatic, financial, and legal responsibility for the grant, including all reporting and monitoring activities; acts as the payee for the receipt of Federal funds; and distributes the Federal funds to the consortium members. **Once an application has been submitted, applicants may not change the lead applicant.**
2. **One or more consortium members.** These are the organizations, other than the lead, that play an integral role in planning and executing the project. All consortium members must be identified as such on the application form and must submit a "Consortium Member Information Form" as a part of the application package (see page 95). **NOTE: For the purposes of any application that is submitted under these guidelines, no consortium may have more than 10 members.**

A majority of consortium members (i.e., more than half, including the lead organization) must meet all of the requirements that are listed under "Eligibility/All Applicants" on pages 5-6. All consortium members must have submitted acceptable Final Report packages on any completed Arts Endowment grants. In a consortium that has only the lead applicant and one other member, both must comply with all of the eligibility criteria. Consortium members may not be individuals or for-profit entities.

Other organizations may participate in a consortium project without being considered consortium members. These would be organizations that are not involved integrally in planning and executing the overall project. **There are no restrictions on the number of consortia in which an organization may participate as long as it is neither the lead applicant nor a consortium member as defined in #2 above.**

*No limit to
no. of consortia* **State arts agencies and their seven regional arts organizations may serve as consortium members or as participants in consortium projects as long as they do not receive any Arts Endowment funds for their participation.**

A parent organization and its component(s) may not apply as a consortium.

The Arts Endowment encourages applicants to discuss consortium applications with Endowment staff before they apply. See the telephone list on page 4; call the discipline/field which is appropriate for your project.

We Fund

All grants will be made for specific projects. While a project may relate to more than one category, an organization should apply to the one that is most relevant to the goals of its project. These categories (Heritage & Preservation, Education & Access, Creation & Presentation, and Planning & Stabilization) are very broad and open, and the Endowment realizes that many types of projects may be eligible under more than one. We encourage applicants to focus on the primary intent of their project as it relates to the purposes and the review criteria of the different categories when deciding where to apply.

A project may consist of one or more specific, related events or activities. A project -- whether a single endeavor or multiple events or activities -- must possess some characteristic or unifying principle that makes it distinguishable from an organization's entire season or overall operations. Grants may be awarded for any or all phases of a project, from its planning through its implementation.

Priority will be given to projects, regardless of the size or type of applicant organization, that are of national, regional, or field-wide significance. This includes local projects that can have a profound effect within their community or that are likely to serve as models for a field. The Arts Endowment recognizes that significance and impact may be measured by excellence or creativity, not by budget size, organizational longevity, or the numbers of people or areas that are reached. Projects do not need to be large in scope; the Endowment welcomes small projects that can make a real difference in their community or field.

A project does not have to be new. Excellent existing projects will be considered to be just as competitive as new activities. (A grantee may not receive two successive Arts Endowment grants for the same costs during the same or an overlapping period of support; see also page 28.)

Artistic excellence and artistic merit will be the primary criteria in the review of applications. The potential impact of the project and the applicant's ability to carry it out also will be considered. Specific review criteria for each category are listed in the category sections.

We Do Not Fund

(please read this section carefully)

Funding under these guidelines is not available for:

- General operating support.
- Seasonal support.
- Individuals directly. (The Arts Endowment encourages applicant organizations to assist and involve individual artists in all possible ways.)

(continued on the next page)

Grants to Organizations (continued)

- Elementary or secondary schools directly.
- Avocational or student groups.
- Subgranting or regranting, except for state arts agencies, their regional arts organizations, and local arts agencies that meet the eligibility requirements on page 6.
- Construction, purchase, or renovation of facilities.
- Start-up costs for new organizations.
- Marketing expenses that are not directly related to the proposed project.
- Commercial (for-profit) enterprises or activities.
- Fundraising or development.
- Debt and deficit reduction.
- Cash reserves and endowments (except in Planning & Stabilization).
- Social activities, entertainment costs, receptions, etc.
- Lobbying expenses.
- Generally, professional training in degree-granting institutions.
- Work toward academic degrees.
- Literary projects, programming, or publishing that does not focus primarily on contemporary literature and/or writers. For projects involving the interpretation of existing literature, applicants should contact the National Endowment for the Humanities.
- Research that is directed primarily to academic purposes or scholarly projects. (Research that is related to catalogues or public programming is eligible for funding.)
- Publication of books or exhibition of works by the applicant organization's staff, board members, faculty, or trustees.
- Generally, exhibitions of, and other projects that primarily involve, single, privately owned collections.
- Purchase of major equipment, except in limited cases where the equipment is an integral component of the project and where rental costs would exceed the purchase price.

Note to Applicants

The following pages describe the Arts Endowment's four funding categories and how to apply for a grant. These guidelines also provide information on policies, procedures, and Federal requirements with which all applicants must be familiar. Included are topics such as application review, access for individuals with disabilities, final reports, and Federal requirements with which all grantees must comply. **Be sure to read "Important Information for All Applicants" starting on page 26, "Legal Requirements" on page 32, and "Assurance of Compliance" starting on page 99.**

Please remember: these guidelines are for organizations only; and organizations, with few exceptions (see pages 7-9), are limited to a single application, under one of the four categories in this guideline book.

CATEGORIES

HERITAGE & PRESERVATION

The artistic heritage of the United States is diverse, complex, and lively. Reflecting the many threads that comprise the cultural and aesthetic fabric of our country, this living, pluralistic heritage enriches the lives of all Americans.

Preserving our nation's wealth of outstanding artistic accomplishment expands the body of artistic models, resources, and insights available to all Americans now and for the future.

Projects can focus on heritage, on preservation, or on both.

The Arts Endowment's purpose through the Heritage & Preservation category is to: 1) honor, assist, and make visible those artists and forms of artistic expression that reflect the many cultural groups that make up our nation; 2) preserve significant artistic accomplishments of the many cultures that our culture comprises; and 3) conserve important works of art for future generations. Heritage & Preservation projects should represent clearly defined strategies to accomplish these goals. They may include, but are not limited to:

- The documentation and/or presentation to the public of artists and art forms that reflect our diverse cultural traditions. (The presentation of ethnically-specific work is also eligible under the Creation & Presentation and Education & Access categories.)
- Projects that pass artistic repertoire, techniques, aesthetic principles, and written or oral traditions on to future generations through apprenticeships or other forms of instruction.
- The documentation, publication, and preservation of significant artistic works, styles, techniques, and aesthetic/cultural perspectives.
- Projects that provide technical assistance to traditional/folk artists.
- Publications that document and/or disseminate artistic works, models of preservation, or other material that is aimed at strengthening our artistic heritage.
- The conservation treatment of highly significant works of art, artifacts, and collections that are wholly owned by the applicant.
- Innovative uses of modern technology as a means of preserving and strengthening our artistic heritage.
- Innovative, model projects in the folk & traditional arts.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Artists to be involved, if appropriate.
- Artistic significance of the proposed project and/or the work(s) to be preserved/conserved, as appropriate.
- Evidence of direct payment of participating artists and arts professionals, where appropriate.

Impact of the proposed project, including the:

- Significance of the proposed project to our artistic and cultural heritage.
- Potential to broaden public appreciation of and access to the arts.
- For proposed conservation projects, the urgency of the need.
- Where appropriate, the potential to reach underserved populations such as those in rural areas, culturally-diverse or ethnically-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Applicant's readiness to accomplish the project.
- Inclusion of the appropriate artistic, cultural, and technical expertise in the planning and execution of the project.
- Effectiveness of the proposed plans and/or methods for preservation/documentation/dissemination, including, where appropriate, the involvement of the cultural communities that will be affected.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- For consortia, the appropriateness of the proposed project as a consortium project and its appropriateness to the membership of the group.
- For consortia, the clarity and appropriateness of each member's role in developing and implementing the project.
- Completeness and clarity of the application package, including all narratives, work samples, and support materials.

Grant Amounts and Matching Funds

Grants generally range from \$5,000 to \$200,000 and require a match of **at least 1 to 1**.

The Endowment has certain funds that may be awarded only on a 3 to 1 matching basis. If your project budget indicates this level of matching funds, you may be recommended for such a grant. If so, the staff will contact you with details. See also page 27.

Deadline and Announcement Dates

Complete application packages must be postmarked no later than April 1, 1997.

Notification of awards and rejections will be made by mail only, and not before January 1998. Projects may begin any time after February 1, 1998. Please do not seek information on the status of your application before the notification date.

How to Apply

For application instructions, see "How to Apply" on pages 33-37 and the "Special Application Requirements" that begin on page 37.

EDUCATION & ACCESS

The Arts Endowment believes that all Americans should have opportunities to experience the arts — as learners, as makers of art, and as audience members. The Endowment's purpose through the Education & Access category is to 1) expand opportunities for educational experiences in the arts for Americans of all ages, and 2) help make the arts available to all Americans.

Projects can focus on access, on education, or on both.

Access: The Endowment supports projects that seek to expose the widest public to excellence in the arts, while broadening understanding and appreciation of our heritage and culture. Access projects expose participants to art forms, genres, or artistic processes, often heightening their appreciation and awareness, particularly among those whose opportunities to participate in the arts may have been limited by educational, geographic, ethnic, or economic constraints. Projects may include, but are not limited to:

- Touring performances and exhibitions and other activities that are designed to reach populations which ordinarily might not have the opportunity to participate in such events. Works may be in any art form: visual, performing, design, media, literature, etc. (See also Creation & Presentation on pages 19-20.)
- Activities, such as the distribution of publications, that provide access to art.
- Activities which extend the work of older, disabled and/or ethnic artists to the public.
- Outreach projects which engage diverse communities in partnerships.
- National broadcast of significant television or radio programs on the arts. (See also Heritage & Preservation on pages 12-14 and Creation & Presentation on pages 19-20.)
- Innovative uses of technologies to make the arts more widely available.

Education: The arts constitute an important body of knowledge and skills that are learned and that should be an integral part of education, whether this takes place in the classroom, in the community, or in an arts or cultural facility. Generally, education projects, regardless of the ages of the learners or the setting, will involve the systematic engagement of participants to increase their knowledge of and/or skills in the arts. Both the providers and the participants usually will have explicit expectations of the results according to the projects' designs. In pre-kindergarten (pre-K) through grade 12 education, the arts also can serve as powerful educational tools that improve cognition, increase confidence and communication, and enhance the overall learning environment for students.

With lifelong learning in the arts as an overall principle, education in the arts includes pre-K through grade 12 and post-secondary programs, career development, teacher training, master-apprentice relationships, and ethnically-specific traditions of learning.

Education projects may include, but are not limited to:

- Instruction (not for academic credit) that is offered by arts organizations or artists that provides sequential learning in the arts over an extended period.
- Master classes, workshops, and apprenticeship programs.
- Lecture series and symposia that are not a part of the regular curriculum of colleges and universities.
- Curriculum-based arts instruction for students in grades pre-K through 12 that provides substantive and sequential learning in the arts. Such projects should involve the combined efforts of arts organizations, artists, and schools, as appropriate.
- Training and professional development for artists and/or instructors that enhances their ability to teach the arts.
- Program evaluation and/or assessment of student learning.
- Documentation and/or dissemination of effective arts education programs and practices.
- Activities that build coalitions to support the arts as an integral part of education reform.
- Innovative uses of technologies to improve teaching and learning in the arts.

The Endowment regards the direct involvement of artists and, where appropriate, the use of original works of art as crucial elements in excellent Education & Access projects. Projects may be interdisciplinary and/or multidisciplinary and involve partnerships with both arts and non-arts institutions or organizations. The Endowment encourages applications which propose new approaches and have the potential to serve as model projects.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Quality of the artists and, where appropriate, the works of art that are involved in the project.
- Evidence that the project has been thoughtfully designed to ensure that it will be engaging, challenging, and sensitive to the cultural context of the population to be served.
- Evidence of direct payment of participating artists and arts professionals.

Impact of the proposed project, including the:

- Potential to broaden and/or deepen public knowledge, understanding, and appreciation of the arts.
- For access projects, potential to reach audiences that otherwise would not be reached or that are limited in their opportunities to participate in the arts.
- For pre-K through 12 projects, potential to advance the arts as a basic subject.
- For career development projects, potential to enrich the field(s) or art with highly-trained artists.
- Need for and appropriateness of the project in terms of the targeted population, including:
 - The degree to which the targeted population is included in the project planning, implementation, and evaluation, as appropriate.
 - The relevance of the curriculum and instructional strategies, and the quality and usefulness of the materials that are to be developed, as applicable.
- Where appropriate, the potential of a model project to be replicated or adapted.
- Where appropriate, the potential to reach underserved populations such as those in rural areas, culturally-diverse or ethnically-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Clarity of the project goals and design.
- Evidence of effective collaboration among the relevant participants, both individuals and organizations.
- Appropriateness of facilities, equipment, and site(s), as relevant.
- Qualifications of the artists, the teachers (where relevant), and other key project personnel.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- For education projects, evidence of the applicant's commitment to education through organizational leadership, staffing, budget, programming, and community involvement.

- Where appropriate, evidence of effective dissemination and/or technical assistance strategies.
- For consortia, the appropriateness of the proposed project as a consortium project and its appropriateness to the membership of the group.
- For consortia, the clarity and appropriateness of each member's role in developing and implementing the project.
- Completeness and clarity of the application package, including all narratives, work samples, and support materials.

Grant Amounts and Matching Funds

Grants generally range from \$5,000 to \$200,000 and require a match of **at least 1 to 1**.

The Endowment has certain funds that may be awarded only on a 3 to 1 matching basis. If your project budget indicates this level of matching funds, you may be recommended for such a grant. If so, the staff will contact you with details. See also page 27.

Deadline and Announcement Dates

Complete application packages must be postmarked no later than April 7, 1997. Notification of awards and rejections will be made by mail only, and not before February 1998. Projects may begin any time after March 1, 1998. Please do not seek information on the status of your application before the notification date.

How to Apply

For application instructions, see "How to Apply" on pages 33-37 and the "Special Application Requirements" that begin on page 37.

CREATION & PRESENTATION

Through its Creation & Presentation category, the Arts Endowment seeks to nurture American culture in all its variety and bring it to the public. This category recognizes the role of both individuals and organizations in sustaining and making available to the American people our rich cultural legacy and artistic creativity in all their forms.

The Endowment's purpose through this category is to 1) assist the making of new artistic work, and 2) encourage the presentation/exhibition/performance for the public of artistic works of all cultures and periods.

Projects might provide the resources, time, and space for artists to create a specific work or body of work. Or, they might present art, of any period and in any arts discipline, to audiences through a diverse range of activities in formal or informal settings.

Creation & Presentation projects may include, but are not limited to:

- The creation/development of specific work(s).
- Commissions.
- Residencies.
- Rehearsals.
- Workshops.
- Performances.
- Exhibitions.
- Festivals.
- Literary publishing.
- Design charettes.
- Touring. (See also Education & Access on pages 15-18.)
- Production and/or broadcast of creative film, video, and audio works. (See also Education & Access on pages 15-18.)
- New technologies that assist in the creation and/or presentation of work.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Quality of the proposed artists and/or works of art that are involved in the project.
- Artistic vision and programming of the applicant organization.
- Evidence of direct payment of participating artists and arts professionals.
- Quality of related publications and educational and outreach activities, where appropriate.

Impact of the proposed project, including the:

- Potential, where appropriate, to enhance public appreciation of the art form, the art work, and/or the artist.
- Potential to contribute work of artistic value to the creative legacy of the nation, region, or field.
- Where appropriate, the potential to reach underserved populations such as those in rural areas, culturally-diverse or ethnically-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Quality and clarity of the project plans.
- Appropriateness of the proposed project to the organization's mission and audiences.
- Qualifications of staff.
- Appropriateness of facilities, equipment, and site(s), as relevant.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- For consortia, the appropriateness of the proposed project as a consortium project and its appropriateness to the membership of the group.
- For consortia, the clarity and appropriateness of each member's role in developing and implementing the project.
- Completeness and clarity of the application package, including all narratives, work samples, and support materials.

Grant Amounts and Matching Funds

Grants generally range from \$5,000 to \$200,000 and require a match of **at least 1 to 1**.

The Endowment has certain funds that may be awarded only on a 3 to 1 matching basis. If your project budget indicates this level of matching funds, you may be recommended for such a grant. If so, the staff will contact you with details. See also page 27.

Deadline and Announcement Dates

Complete application packages must be postmarked no later than April 16, 1997.

Notification of awards and rejections will be made by mail only, and not before March 1998. Projects may begin any time after May 1, 1998. Please do not seek information on the status of your application before the notification date.

How to Apply

For application instructions, see "How to Apply" on pages 33-37 and the "Special Application Requirements" that begin on page 37.

PLANNING & STABILIZATION

The Arts Endowment recognizes that there is a continuing struggle on the part of America's arts organizations, large and small, to achieve stability in an unstable environment, and that arts organizations are engaged in various efforts to develop structures that will enable them to carry on their work effectively and creatively.

The Arts Endowment's purpose through the Planning & Stabilization category is to strengthen arts organizations' ability to realize their artistic and public service goals.

Planning & Stabilization support therefore seeks to help eligible organizations:

- Clarify and strengthen their identities and missions.
- Build their capacity and resources for the execution of such missions.
- Build resilience and disciplined flexibility to adapt to today's funding circumstances.
- Sustain the arts in an era of constant and profound change.
- Build partnerships which strengthen the arts infrastructure.
- Develop new partners and resources (including new private and/or public money) to support the arts.

Projects can include organizational planning, stabilization, or both.

Planning offers assistance to applicants to assess carefully their organizational strengths, weaknesses, and financial health. Projects also can develop strategies for building partnerships and resources among a group of organizations that are linked by geography, programming, artistic field, mission, etc. Planning can be comprehensive or targeted.

- Comprehensive planning for organizations entails evaluating the mission, the connections that link all activities (current or future) to that mission, and the effectiveness of activities that are undertaken in pursuit of the mission. Comprehensive planning can include all areas of operation: governance, programming, financial management, marketing, community relations, personnel, etc. It also can examine an organization's effectiveness in its community (geographic or otherwise) or in its field.
- Targeted planning involves the evaluation of a specific activity or discrete set of activities within the context of an organization's overall activities and mission. Examples of targeted planning include marketing analysis or developing plans for cash reserves or an endowment. An organization might also examine the best way to integrate technology into the organization's operations or study the feasibility of expanding or reducing its facility.

Stabilization helps organizations strengthen their own institutional capacity; adapt to the realities of their potential audiences and communities by determining and realizing an appropriate size; maximize and diversify their resources; or enhance their abilities to serve or strengthen their arts field.

Planning & Stabilization projects may include, but are not limited to:

- Technical assistance (including fees for consultants) to help arts organizations develop long-range plans, improve the skills of staff members, or otherwise strengthen their capabilities or those of their fields.
- The acquisition of term endowment or term cash reserve funds. (See additional information on page 25.)
- Projects to enhance earned income through the creation or development of products and/or services. Such projects must be appropriate to the applicant's mission.
- Efforts to identify and target potential audiences, and to streamline box office operations, through an improved use of technology.
- Other income- or capacity-building projects that contribute to organizational strengthening.
- Community planning, possibly spearheaded by a local arts agency, to examine the feasibility of a new or enhanced performing/presenting venue that would serve arts organizations and audiences throughout the community.
- Development, by a national service or other appropriate organization, of a model computer program for ticket sales, scheduling, or marketing purposes that could be made available to arts groups.

Additional Eligibility Requirements

In addition to the Eligibility requirements for all organizations (see pages 5-6):

- **Planning & Stabilization** applicants must have completed their grants and submitted acceptable Final Reports for all previous Challenge, Advancement, and/or Planning & Stabilization grants before the application deadline for this category. (In the case of consortium applications, all consortium members must meet this requirement.)

The Endowment will consider exemptions to this requirement for service organizations that are proposing projects that serve a broad constituency. Such organizations should call the Planning & Stabilization staff (202/682-5411 or 202/682-5480).

- **Stabilization** applicants must have a minimum annual operating expenditure level of \$200,000 (not including in-kind contributions) for the most recently completed fiscal year prior to submission of the application.
- There is no minimum annual operating expenditure level for organizations that apply for **Planning** support only (except orchestras and opera companies, which must have an annual operating expenditure level of at least \$100,000).

Organizations are not eligible for endowment or cash reserve stabilization grants if: 1) there is a deficiency in the unrestricted net assets that exceeds 15% of their current operating expenses, or 2) they have been awarded, during the preceding four fiscal years, Challenge or Planning & Stabilization grants from the Arts Endowment that are intended wholly or in part for endowments or cash reserves.

NOTE: Applicants should pay close attention to the application requirement regarding the submission of audited financial statements on page 36.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the applicant organization, including the:

- Quality of the artists, works of arts, and/or services that the organization serves, presents, or provides.
- Significance of the organization to the cultural life of its community, region, or field.

Ability to carry out the project, including the:

- Clarity of the project goals and design.
- Qualifications of key staff and/or consultants who will carry out the project.
- Relationship of the proposed activity to the applicant's mission, history, and current environment.
- Applicant's readiness to accomplish the project.
- Need for and appropriateness of the project in the context of the organization's/field's current condition.
- Evidence of effective collaboration among relevant participants, if appropriate.
- Efforts to engage other funders, if appropriate.
- Appropriateness of the budget for the proposed project. (Organizations that are applying for endowments or cash reserves may not use in-kind contributions as matching funds.)
- Organizational stability and fiscal responsibility.
- For consortia, the appropriateness of the proposed project as a consortium project and its appropriateness to the membership of the group.
- For consortia, the clarity and appropriateness of each member's role in developing and implementing the project.
- Completeness and clarity of the application package, including all narratives, work samples, and support materials.

Impact of the proposed project, including the:

- Quality of the proposed project.
- Potential impact on the organization and its ability to carry out its mission.
- Potential impact on audiences, artists, and the artistic community.
- Where appropriate, the potential to reach underserved populations such as those in rural areas, culturally-diverse or ethnically-specific communities, and individuals with disabilities.

The Endowment may schedule management assessments of applicant organizations as part of this review.

Grant Amounts and Matching Funds

Grants generally range from \$15,000 for Planning projects and \$40,000 for Stabilization projects to \$500,000. Grants must be matched as follows:

- All Planning & Stabilization grants of \$75,000 or less require a match of **at least 1 to 1**.
- All Planning & Stabilization grants between \$75,001 and \$500,000 require a match of **at least 3 to 1**.

Organizations that receive Planning & Stabilization grants for endowments or cash reserves may not use in-kind contributions as matching funds.

Deadline and Announcement Dates

Complete application packages must be postmarked no later than April 30, 1997. Notification of awards and rejections will be made by mail only, and not before March 1998. Projects may begin any time after May 1, 1998. Please do not seek information on the status of your application before the notification date.

How to Apply

For application instructions, see "How to Apply" on pages 33-37 and the "Special Application Requirements" that begin on page 37.

Additional Information on Term Endowments and Term Cash Reserves

Term Endowments: Federal and matching funds that are placed in endowments must remain intact and must be separately disclosed in the organization's audited financial statements for the length of the grant period and for a minimum of 10 years after the grant end date. Only earnings may be used for operations, programs, or reinvestment in the fund portfolio.

Term Cash Reserves: Federal and matching funds that are placed in cash reserves are intended to provide short-term capital, and subsequently to be replenished when used. Repayment must take place within two years from the date of borrowing. Cash reserve funds must be held in cash, cash equivalents, or marketable securities. The board of an applicant organization must adopt policies and procedures that will ensure that any Federal and matching funds that are placed in cash reserves (including "quasi-endowment" and "working capital" funds) are replenished. Financial statements must disclose (as temporarily restricted) the acquisition, borrowing, and repayment of Federal and matching cash reserves for a minimum of 10 years after the grant end date.

Term Endowments and Term Cash Reserves: Grantees must make all necessary legal arrangements to secure endowments or maintain cash reserves for the required term. The Arts Endowment places no restrictions on the expenditure of income that is derived from the endowment or cash reserve funds.

Important Information for All Applicants

What Happens to Your Application

The Arts Endowment seeks to encourage projects of substantial artistic and cultural significance that reflect American creativity, professional excellence, and cultural diversity. Applications are evaluated against the review criteria for their category as set forth in these guidelines. The Endowment's authorizing statute also advises the agency that public funding of the arts should foster mutual respect for the diverse beliefs and values of all persons and groups.

After applications are received at the Endowment, they are processed by the staff. They are reviewed, in closed session, by advisory panelists. Each panel comprises a diverse group of arts experts and at least one knowledgeable layperson. Panel membership rotates regularly. Panel recommendations are forwarded to the 26-member, presidentially appointed National Council on the Arts, where they are reviewed in open session.

The Council makes decisions on which applications to reject. It sends forward to the Chairman of the National Endowment for the Arts those applications that it recommends for funding. The Chairman makes the final decision on all grant awards.

When this review is completed, applicants are notified in writing of funding decisions. **Please do not seek information on the status of your application before the notification date that is listed inside the front cover of these guidelines.**

After notification, applicants who have questions may contact the Arts Endowment staff in the appropriate discipline/field. Any denied applicants who want an explanation of the basis for denial must contact the Endowment no later than 30 days after the official notification. Applicants are welcome to attend meetings of the National Council on the Arts and open policy sessions of advisory panel meetings.

Access for Individuals with Disabilities

The achievement of access for individuals with disabilities, as directed by Federal law, frequently requires long-range planning and budgeting. The Arts Endowment encourages applicants to consider access issues as an integral part of their planning for both programs and facilities. Program accommodations for individuals with various disabilities (e.g., audio description, sign language interpreters, cassette recordings of printed materials, and large print labeling) generally are eligible project costs. For more information, contact the Office for AccessAbility at 202/682-5532 or 202/682-5496 Voice/T.T. or the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T. (Text-Telephone, a telephone device for individuals who are deaf or hard-of-hearing).

Site Visits

The Arts Endowment may arrange, at its discretion, for discussions or site visits with some applicants as a part of the review of applications. If you are scheduled for a site visit, you will be notified in advance. The information that is gathered will be one of a number of items to be considered in the review of applications. Applicants may be asked to provide two complimentary tickets for the purpose of project and organizational evaluation.

Grant Amounts

Submit a realistic budget for your proposed project; apply only for what you need. Budgets will be examined carefully during the review of applications.

Applicants whose grants are recommended at less than the amount requested may be asked to revise the project budget. Applicants may need to reduce the scope of the project or find more funds from sources other than the Endowment.

The Arts Endowment reserves the right to support a particular portion(s) of the project that is described in the application.

The Arts Endowment encourages arts organizations to seek funding from other sources.

Grant amounts are subject to annual Congressional appropriations and the availability of funds.

Matching Funds

Grants to organizations may be used to pay no more than half of the project costs. Each grantee must match the Arts Endowment's funds on at least a 1 to 1 basis. (More stringent requirements are in effect for certain Planning & Stabilization grants; see page 24.)

The required matching funds should come from cash contributions, earned income, and other non-Federal grants. Documented in-kind contributions (such as donated space, supplies, and services) also may be used as a part of the match. There is one exception: Organizations that receive Planning & Stabilization grants for endowments and cash reserves may not use in-kind contributions as matching funds.

Some applicants may be recommended for grants that require a match of at least three non-Federal dollars for each Federal dollar. In such cases, the grantee will be required to certify to the Arts Endowment that it has secured a portion of the match (pledges, cash and in-kind contributions, and earned income) before the Federal funds are released. If you are recommended for such a grant, the staff will contact you with details.

Period of Support

Grants awarded under these guidelines may cover a period of support of up to two years. **Applicants should allow sufficient time to plan, execute, and close out their project.**

A grantee may not receive two successive Arts Endowment grants for the same costs during the same or an overlapping period of support. The Endowment realizes that some applicants may not know the status of their FY 97 grant by the time that they apply under these (FY 98) guidelines. The Endowment staff will contact applicants about adjusting the scope and/or time period of any new grant should overlapping costs appear to be an issue.

Changes in Projects

Grantees are expected to carry out a project that is consistent with the proposal that was approved for funding by the Arts Endowment. If changes in the project are believed to be necessary, the grantee must send a written request, with justification, to the Endowment. The Arts Endowment's Grants & Contracts Office will notify the grantee in writing as to the Endowment's determination on its request. Approval is not guaranteed.

Continuing Support

Grants are made for specific projects, not for continued organizational support. Each year, applications are reviewed on their merits and in competition with other applications submitted. A grant awarded in one year does not imply Arts Endowment support, or a grant in the same amount, in subsequent years.

Electronic Funds Transfer Requirements (EFT)

Current law now mandates the use of electronic funds transfer (EFT) for Federal payments. When requesting payments, grantees will be required to provide their bank's routing transit number (RTN), and their account number where money is to be transferred. The financial institution that you designate for this purpose must be associated with the Federal Reserve Bank. Details on EFT will be included in the grant award package.

Reporting Requirements

Progress Reports: The Arts Endowment requires Progress Reports from grant recipients. Details will be provided with the grant award package.

Final Reports: At the end of the grant period, the Arts Endowment requires acceptable Final Report packages from all grantees. Complete instructions will be provided with the grant award package.

Grantees who fail to submit required Final Reports on any Arts Endowment grant(s) are ineligible to receive funding for five years following the Final Report due date(s) unless the delinquent Final Report packages are submitted earlier. The acceptability of Final Report packages may also affect eligibility. To maintain or reestablish eligibility, immediately mail any delinquent Final Reports to:

Grants & Contracts Office/Final Reports Section
Room 618
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001

Do not include Final Reports as part of your new application package.

Acknowledgment of Endowment Support

All grantees should credit the National Endowment for the Arts in all published materials and announcements regarding the project. Details will be provided with the grant award package.

Proof of Mailing

It is the applicant's responsibility to document that the application was postmarked by the Application Postmark Date; we strongly recommend that you send materials "return receipt requested," which will serve as your immediate notification (and postmark proof) that the materials have reached the Arts Endowment's Information Management Division. **Without proof of mailing, the Arts Endowment will not accept applications that are delayed or lost in the mail.**

Lobbying

Grantees may not use Arts Endowment funds for general political lobbying or for lobbying to obtain grants.

If you are recommended for a grant of more than \$100,000, Section 319 of Public Law 101-121 applies. This law establishes additional restrictions on lobbying. The Arts Endowment's Grants & Contracts Office will contact you with further information as necessary.

General Terms & Conditions

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our *General Terms & Conditions*, which is sent to all grantees in the grant award package.

Environmental Assessments

42 U.S.C. section 4332, the National Environmental Protection Act (NEPA), requires Federal agencies to make, when necessary, an environmental assessment before undertaking a major Federal action. The Arts Endowment may ask applicants for information which would be used to determine whether or not an environmental assessment is necessary.

16 U.S.C. 470, The National Historic Preservation Act of 1966, as amended, requires Federal agencies to make, when necessary and appropriate, a determination as to the impact of a proposed project on surrounding historic properties. The Arts Endowment may ask applicants for information which would be used to determine whether or not a review in accordance with 36 C.F.R. Part 800 (often referred to as "Section 106 process") is necessary.

Arts and Artifacts Indemnity Act of 1975

The Arts and Artifacts Indemnity Act of 1975 (20 U.S.C. 971) authorizes Federal indemnification for international exhibitions. There are two deadlines each year: October 1 and April 1. For guidelines and application information, contact:

Indemnity Administrator
Room 726
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001
202/682-5452

Reporting Burden

The public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506-0001; or to the Office of Management and Budget, Paperwork Reduction Project (3135-0112), Washington, DC 20503.

Application Information

LEGAL REQUIREMENTS

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt¹.** Organizations qualifying for this status must meet the following criteria:
 - (1) No part of net earnings may benefit a private stockholder or individual.
 - (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended. A copy of the IRS determination letter, or of the official document that identifies the applicant organization as a unit of either state or local government, must be submitted with each application.
- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.** (This requirement is in accordance with regulations that have been issued by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations. A copy of part 505 is sent to all grantees as part of the grant award package; part 505 does not provide information on specific compensation levels.)
- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous to the health and safety of the employees involved.**
- **Comply with the Federal requirements that are outlined in the “Assurance of Compliance” section beginning on page 99.** Included are the requirements for nondiscrimination on the basis of race, color, national origin, disability, age, or sex.

¹Generally speaking, in American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands, U.S. tax laws have an application similar to that in the United States. However, in the Commonwealth of Puerto Rico, owing to special income exemptions, the application differs. Nevertheless, arts organizations in all these areas should be aware of their need to obtain tax-exempt status in order to qualify for Endowment support. For further information concerning this matter, write the Internal Revenue Service's Exempt Organizations Office, 31 Hopkins Plaza, Baltimore, Maryland 21201 or call the IRS's Technical Assistance Office at 800/829-1040 or 410/962-2590.

How to Apply

All organizations must follow carefully the instructions below. **It is each applicant's responsibility to make certain that its application package is complete and as specific as possible.** Because of the Endowment's greatly reduced staff, we may be unable to contact you in case of omissions or inconsistencies in your submission.

If new information that affects your application becomes available after the deadline, please send that information directly to the specialist for the appropriate discipline/field. The Endowment's staff will make every attempt to include material that is sent within a reasonable time after the deadline in the application review. **Be sure to include your application number on any such submissions;** your application number will be provided on the Application Acknowledgment Card that the Endowment will send you upon receipt of your application package.

Your application will be photocopied once it arrives at the Arts Endowment. Because it is important that reviewers be able to read photocopied material easily, you must:

- Type all application materials. Use black type and a 10 point or larger font.
- **Do not reduce or condense type or line size.**
- Submit all materials (excluding work samples) on 8-1/2 inch by 11 inch white paper; all margins (i.e., top, bottom, and sides of pages) must be at least one inch. Do not use colored paper.
- Put the applicant organization's name at the top of every page.
- Submit one set of **original forms** from the guideline booklet. When photocopying materials, copy on one side only. **Do not submit two-sided copies.**
- Do not bind, paper clip, or staple materials.

In addition:

- If you are submitting two applications (e.g., one on your own behalf and one as the lead applicant for a consortium or as a fiscal agent for another group), send each in a **separate package.**
- If you are a component of a college or university, make sure that your application is authorized and submitted by the appropriate college/university office, e.g., the sponsored projects office.

Application forms may be reproduced on a computer, but they must be accurate replicas of the actual forms. All items must appear on the same page, and in the same location and format, as the forms in this booklet. Do not add pages.

Failure to prepare and format an application correctly may lead to rejection. Reviewers are expected to read hundreds of pages of material for a typical meeting. They are not required to read print that is too small or too gray, or to hunt for items that are not in the proper place on the application form.

NOTE: Handwritten applications, late applications, and applications that are determined to be incomplete or unreadable will be rejected.

Send your application package to:

Information Management Division
Room 815

[Category/Discipline or Field under which you are applying, e.g., Creation & Presentation/Dance (see "Category" and "Discipline/Field" instructions on pages 58-60).]

National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001 (Overnight Mail Zip Code: 20004)

Please submit the materials in the order and format noted below.

1. The completed Application Acknowledgment Card from the back cover of these guidelines.

[NOTE: You may need an additional Application Acknowledgment Card(s) if your organization is:

- Applying on its own behalf and acting as a fiscal agent for another organization.
- Applying on its own behalf and as the lead member of a consortium.
- Applying as a parent organization and for one or more of its components.

If so, please self-address a postcard and include it with any additional application(s). The Endowment will complete the postcard and return it to you in lieu of an Application Acknowledgment Card.]

2. **One copy** of the Internal Revenue Service determination letter for tax-exempt status or of the official document that identifies the applicant as a unit of state or local government. **Designated local arts agencies must also include a copy of the city/county ordinance, resolution, charter, or contract** that assigns them the authority to operate on their local government's behalf. (This item must be included with every application that you submit to the Arts Endowment.)
3. **The original and two copies** of the Application Forms on pages 75-96. Instructions for completing these forms are on pages 57-68 of this booklet.

Organizations that are eligible to submit more than one application, and intend to do so, should duplicate the blank forms, format the forms on a computer, or contact the Endowment for an additional copy of these guidelines. Remember to include all of the required materials in each application and to submit each application separately.

[We also encourage you to include in your application package the Applicant Self-Identification and Project Characterization form on page 97.

Instructions for completing this form are on pages 69-73 of this booklet.]

How to Apply (continued)

4. **Two copies** of biographies (**one-half page** maximum for each bio) of the key project-related personnel [e.g., the proposed primary artist(s), project director, artistic director, curator, editor, folklorist, conductor, etc.]. Send no more than 10 bios; most applications will have fewer. Group two or three bios on one page. Biographies must be brief, current, and, where relevant, include the individual's length of service in the current position. Resumes may **not** substitute for the required biographies.

If your project involves highly technical professionals (e.g., individuals who work with new technologies, art conservators, etc.), also submit resumes (not bios) for those individuals.

If your project involves support for a position that is not yet filled, provide a statement of qualifications and outline your plans for the continued financial support of the position after the Endowment grant ends.

5. **Two copies** of a list of current board members including professional affiliations. If you are the lead member of a consortium, also submit this information for each consortium member. Parent organizations applying on behalf of eligible components should refer to #9.
6. **Two copies** of evidence of commitment to the project by all collaborating organizational partners, where relevant. For school, residency, and touring projects, provide letters of commitment/interest from the host and other collaborating organizations. (Provide a sampling of letters if your project involves more than five other organizations.)

If your application is for a **consortium project**, this requirement is fulfilled by having each member of the consortium complete the "Consortium Member Information Form" on page 95. Fill your organization's name in at the top of the form under "Lead Applicant for Consortium." Then photocopy the blank form and give a copy to each consortium member (or consortium members may reproduce this form on their computers). **Each consortium member (there may not be more than 10) must sign its form and return it to the lead applicant. The lead applicant, in turn, must sign the completed form from each member. The completed forms, including signatures, must be submitted in your application package for it to be considered complete.**

Consortium applicants must also submit a list of organizations (**other than consortium members**) that will be participating in the project, if relevant.

7. **If your project is based on copyrighted material, one copy** of a signed statement that documents the assignment of rights to this particular project or publication. If rights have yet to be obtained, indicate when they will be.
8. **If you are submitting a work sample** (see the Special Application Requirements for your discipline/field), **two copies** of the Work Sample Index on page 93.

9. If you are a parent organization that is applying on behalf of an eligible component, one copy of documentation that verifies that the component meets the eligibility criteria. This documentation must include:

- a) A list of board/formal advisory group members for the component and for the parent organization. Indicate any overlaps. Describe briefly the responsibilities of each group and note how long each has been in existence.
- b) A list of key staff of the component unit. Describe any overlaps in staffing with the parent organization.
- c) An annual operating budget for the component.
- d) Brochures or other printed promotional materials that document the identity of the component as distinct from the parent organization.

10. If you are applying under Planning & Stabilization:

- a) **One copy** of financial statements that have been audited by an independent certified public accountant (CPA) for the most recently completed fiscal year prior to the application deadline. The Endowment realizes that organizations whose fiscal year ends between December 31, 1996 and March 31, 1997 may not be able to include audited financial statements for the year that just ended in their application packages. In such cases, you must submit these statements no later than 120 days after the end of your organization's fiscal year.

For public agencies, a financial statement signed by the agency's comptroller will be sufficient.

[Please note that this does not affect other state or local agency requirements for audits, nor does this satisfy or address the Federal Office of Management and Budget's (OMB's) audit requirements governing grantees.]

Form 990s, reviews, or compilations are not acceptable substitutes for the audit.

If you are applying as the lead member of a consortium, include audited financial statements for all consortium members that have them.

(Remember that a majority of consortium members must meet all of the Endowment's eligibility criteria and must have such documents.)

Include a list of consortium members that do not have audited financial statements.

- b) For applications for cash reserves and endowments, **one copy** of a timeline of gift solicitation and projected receipt of cash. Applicants will be notified if any additional information is needed.

How to Apply (continued)

IN ADDITION, REVIEW THE SPECIAL APPLICATION REQUIREMENTS FOR THE DISCIPLINE/FIELD THAT IS MOST APPROPRIATE FOR YOUR PROPOSED PROJECT. For guidance in determining this item, please read **CAREFULLY** the “Discipline/Field” instructions on pages 59-60. You must follow the Special Application Requirements for the discipline/field that you indicate as most relevant to your project on the application form.

Work samples and other required materials are a crucial part of your application package. Your application will not be considered complete without the items outlined below. If, based on the “Discipline/Field” instructions on pages 59-60, your project relates most appropriately to:

Arts Education (pre-K through 12), see below.
Dance (including dance presentation), see page 38.
Design, see page 39.
Folk & Traditional Arts, see page 40.
Literature, see page 41.
Local Arts Agencies (including state-wide assemblies), see page 42.
Media Arts (including broadcast programs or documentaries on any art form),
see page 42.
Multidisciplinary, see page 43.
Museums, see page 44.
Music (including music presentation), see page 46.
Musical Theater, see page 48.
Opera, see page 49.
Presenting (multidisciplinary presentation only), see page 50.
Theater (including theater presentation), see page 51.
Visual Arts (including public art projects), see page 52.

Special Application Requirements for Arts Education Projects

In addition to those materials that are required of all organizations, applicants who select **Arts Education** (see “Discipline/Field” instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. For projects that involve artist(s) working with students and/or teachers, one copy of work samples that demonstrate the artistic excellence of the key professional artists. Samples should document the artists' work with and commitment to young people and be as closely related to the proposed project as possible. Submit no more than 12 slides for work in the visual arts or one audio or video cassette for performing artist(s)/groups in fields other than theater. Cue a three to five minute section of the tape that you would like the reviewers to focus on. See also “How to Submit Work Samples” on page 54.

If you are a theater company applying for an arts education (pre-K through 12) curriculum-based project, or if a theater company is a partner or otherwise plays a major role in your project, the Endowment will try to arrange a site visit. Please call the Arts Education specialist (202/682-5563) to discuss arrangements. In addition, you may submit a video cassette of the theater company's work.

2. For curriculum-based arts instruction projects for pre-K through 12, sample lesson plans, curricular frameworks and outlines, teachers' guides, evaluation reports and program evaluation forms, and student assessment protocols or plans. Provide a **concise sampling** of representative materials. Place materials, under appropriate tabs, in a narrow loose-leaf notebook that includes the applicant organization's name on both its cover and spine.
3. For projects that include professional development activities for artists, teachers, and/or others involved in arts education (e.g., pre-service or in-service activities, summer institutes, training workshops or symposia), a **concise sampling** of materials that demonstrate the excellence of the proposed activities. Such materials may include, but are not limited to, sample curricula, syllabi, statements of goals and objectives, student assessment and/or program evaluation methods, etc. Place materials, under appropriate tabs, in a narrow loose-leaf notebook that includes the applicant organization's name on both its cover and spine.
4. **One copy** each of no more than three letters of support for the specific project from individuals such as the school superintendent, school board president, state department of education personnel, local or state arts agency personnel, or others. Letters also should address the effectiveness of current efforts, where possible. Do not provide general letters of support for your organization.

Special Application Requirements for Dance Projects (including dance presentation)

In addition to those materials that are required of all organizations, applicants who select **Dance** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. For dance companies, **one copy** of a video cassette of performances by your company that took place within the past two years. The tape should be as relevant as possible to the proposed project. For example, if your project involves the creation of work, provide a work by the proposed choreographer. Cue a three to five minute segment that you would like the reviewers to focus on. See also "How to Submit Work Samples" on page 54.

The Arts Endowment will make every effort to have applicants' work viewed in live performance. Wherever possible, site visit reports and video cassettes both will be made available to the reviewers.

How to Apply (continued)

Dance companies should also submit **one copy** of a **one-page** listing of works that have been performed during the following years: 1994-95, 1995-96, and 1996-97. For each work, include the title, choreographer, composer, and date of creation, as applicable.

2. **If your project involves film or video recording**, a work sample that exemplifies the artistic merit and significance of the subject that is to be recorded. See also "How to Submit Work Samples" on page 54.
3. **If you are applying for a dance presentation project**, **one copy** of a representative list (in chronological order; **two-page** maximum) of dance artists and works that your organization has presented and plans to present to the public for the following years: 1994-95, 1995-96, and 1996-97.

Note, as appropriate:

- The titles of the works.
- The choreographers.
- The performing artist(s)/group(s).
- The dates, location(s), and the number of public performances/events. Include attendance figures where available.

Also submit **three copies** of your season brochures and other promotional materials for the previous and current season.

Special Application Requirements for Design Projects

In addition to those materials that are required of all organizations, applicants who select **Design** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. No more than 12 slides that are representative of the work to be included in the proposed project. Where relevant, include a **one-page** explanation of how the design will accommodate the needs of individuals with disabilities. See also "How to Submit Work Samples" on page 54.
2. **If your project utilizes film, video, or other media**, **one copy** of a brief media sample that demonstrates the ability of the media artist. See also "How to Submit Work Samples" on page 54.
3. **If your project involves publications**, **two copies** each of two works that have been published by your organization within the past three years and that can give the reviewers a sense of your organization's ability to carry out the proposed project. Where relevant, include your production schedule and distribution plans. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Folk & Traditional Arts Projects

In addition to those materials that are required of all organizations, applicants who select **Folk & Traditional Arts** (see “Discipline/Field” instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **One copy** of a work sample(s) that demonstrates the excellence and traditionality of the proposed folk artists. This should be in a format (no more than 12 slides, a recording, a video cassette, etc.) that is most appropriate to the proposed project. See also “How to Submit Work Samples” on page 54.
2. If your proposed project involves film, audio, video, or other media, a proposed treatment of the subject and a brief media sample that demonstrates the ability of the proposed media artist, if that artist is different from the individual who made the work sample that is referred to in # 1. above. See also “How to Submit Work Samples” on page 54.
3. Details to address in your project narrative (“Details of the Proposed Project” on pages 81-85 of the application form). The folk & traditional arts are those that are learned as part of the cultural life of a community whose members share a common ethnic heritage, language, religion, occupation, or geographic region. Highly varied, these artistic traditions are shaped by the aesthetics and values of a shared culture and are passed from generation to generation. Folk and traditional artists most often learn these artistic skills in family and community contexts through observation, conversation, and practice. Given the distinctive nature of this field, your application should address carefully the many factors that are key to a successful project. Make sure that your “Details of the Proposed Project” narrative on the application form answers the questions below.
 - a) Have you provided a clear sense of the artists and cultural specialist(s) who will be involved in your project? How will the artists be identified and selected? (Include biographies and/or resumes in your application package, wherever possible.) How will these artists be compensated for their work?
 - b) Does this narrative (and the required work samples) clearly address the excellence and traditionality of the artists?
 - c) How will the project be interpreted to the audience? How will information about the artists and artistic traditions be conveyed to the public? What cultural expertise will be brought to bear on this? Will members of the community be involved in shaping, presenting, and evaluating the project?

How to Apply (continued)

- d) What is the potential impact (including the long-term impact) of the project, on its audience(s), the artists, and the artistic traditions?
- e) What is the applicant organization's history with projects of this type?
- f) Is the budget reasonable and carefully formulated? In addition to the budget that is provided on the application form, also submit a separate budget that shows exactly how the Endowment's funds would be used.

Special Application Requirements for Literature Projects

In addition to those materials that are required of all organizations, applicants who select **Literature** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. For all applicants, a **concise sampling** of brochures, catalogues, slides (no more than 12), or other audiovisual materials (e.g., an audio or video cassette) that are appropriate to the proposed project and that can enhance a reviewer's understanding of the application. See also "How to Submit Work Samples" on page 54.
2. For all literary publishing applicants, **one copy** of the following information as relevant to the project: complete circulation and sales figures, numbers and rates of paid subscriptions, and your current payment to authors policy. Document costs and anticipated revenues from the project.
3. For literary magazines, **four copies** each of the last two issues. For independent and university presses, **eight copies** of your most recent catalogue and **four copies** each of four books that have been published by your organization within the past three years. Presses also must submit five pages of manuscript from each proposed work.
4. For literary presenters, **one copy** of the names of participating writers and other key program participants for your most recently completed series. If this information appears in a brochure, you may submit **six copies** of the brochure instead.

Special Application Requirements for Local Arts Agency Projects (including state-wide assemblies)

In addition to those materials that are required of all organizations, applicants who select **Local Arts Agencies** (see “Discipline/Field” instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **A concise sampling** of brochures, slides (no more than 12), a video or audio cassette, published articles, or other materials that can enhance a reviewer’s understanding of the artistic excellence and artistic merit of the proposed project. See also “How to Submit Work Samples” on page 54.

Applicants may find it helpful to refer to the Special Application Requirements for the discipline(s) that is most relevant to the proposed project for guidance in selecting their work sample. For example, a local arts agency that is submitting a visual arts project should refer to page 52 (Visual Arts Projects) when selecting and organizing its work sample.

(NOTE: In line with the “Discipline/Field” instructions on pages 59-60, you should select and follow the Special Application Requirements for Arts Education or Folk & Traditional Arts if your project focuses on either of those two areas.)

Special Application Requirements for Media Arts Projects

(including film/video/audio art works and broadcast programs/documentaries on any of the art forms)

In addition to those materials that are required of all organizations, applicants who select **Media Arts** (see “Discipline/Field” instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **For production projects**, **one copy** of a video or audio sample of a completed work that was created by the person(s) with primary artistic responsibility for the proposed project. If you are requesting money to complete a project, submit a sample of the work-in-progress as well as a completed work. Work samples must be representative of current work and, wherever possible, convey a clear sense of the artist’s conceptual approach to the proposed project. If your project is a narrative production, include **two copies** of the script and **two copies** of a **one-page** plot synopsis.

Also provide **two copies** of a **one-page** list of previous productions which demonstrate your ability to carry out the proposed project.

See also “How to Submit Work Samples” on page 54.

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2. **For exhibition projects, two copies** of a detailed list of your proposed exhibition program, including the works to be exhibited and artists scheduled for personal appearances (**two-page** maximum). If an exhibition is to be circulated, provide **two copies** of a **one-page** list of additional venues with dates and the degree of commitment.

Also submit **two copies** of a list of your programming during the previous two years, including personal appearances and audience figures (**four-page** maximum). Also include **three copies** of samples of program notes, calendars, and exhibition schedules.

3. **For moving-image preservation projects, two copies** of a description of each work that is to be preserved including: 1) its major credits; 2) its significance as a 20th century work of art; 3) its physical condition and status as best surviving material; and 4) the methods to be used to restore/preserve it (**three-page** maximum). Provide evidence of coordination with the archival field to assure non-duplication of effort and discuss your plans for future access/exhibition. Also include **two copies** of a **one-page** breakdown of preservation lab costs.
4. **For publications** (journals, periodicals, etc.), **four copies** each of your two most recent issues. For the most recently completed year, provide **two copies** of a rundown on: circulation and sales figures, numbers and rates of paid subscriptions, writers' fees, and frequency of publication (**one-page** maximum).

Electronic "publications" may be supported, but you must contact Endowment staff about the submission of work samples.

5. **For professional development activities, provide a concise sampling** of materials that demonstrate the excellence of the proposed activities. Include **two copies** of a list of the names and current professional affiliations of participants from the past two years (**two-page** maximum).

Special Application Requirements for Multidisciplinary Projects

In addition to those materials that are required of all organizations, applicants who select **Multidisciplinary** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **If you are an artists' community or you are applying for an artist residency project, no more than four slides** that show your facilities and **brief samples** of work (short audio or video excerpts, a maximum of three slides per artist, etc.) by the artists who will participate in the proposed project. If the artists are not yet selected, submit samples for no more than four artists who recently have been in residence at your organization. See also "How to Submit Work Samples" on page 54.

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2. If you are a service organization, up to four copies each of a maximum of four publications that can help reviewers understand your proposed project and the scope of your activities.
3. For all other organizations, one copy of artistic work samples (e.g., no more than 12 slides, an audio or video cassette, etc.) that are relevant to your proposed project. Keep in mind that reviewers generally spend no more than three to five minutes on the work samples for any given application. Organize your submission accordingly. See also "How to Submit Work Samples" on page 54.

If your project involves a **theater company** and you do not have a video cassette or other work sample that can enhance a reviewer's understanding of your project, the Endowment will make every effort to conduct a site visit. **We urge you to call the Multidisciplinary specialist immediately** to allow adequate time to prepare a video or plan a site visit (202/682-5658).

If slides or audio/video documentation are not relevant to your project, submit a **brief sampling (up to four copies each)** of written materials that can convey the artistic merit of your project. This may include publications, study guides, catalogues, or other published materials that can enhance a reviewer's understanding of your application.

Special Application Requirements for Museum Projects

In addition to those materials that are required of all organizations, applicants who select **Museums** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. For exhibitions or reinstallations, one copy of a **one-page** detailed exhibition plan and no more than 20 slides that document the artistic excellence and significance of the proposed project. Include a working checklist (with artist, title, date, size, medium, lender, and degree of commitment) of the works of art to be included. Note whether the works are those to be included in the project or representative samples. For contemporary installation work, please include a description of the work. All exhibition or reinstallation applicants should also provide a brief sampling of education and interpretive materials (proposed or past). See also "How to Submit Work Samples" on page 54.

If your exhibition is to be circulated, provide a list of venues with dates and degree of commitment. If works of art by living American artists are to be purchased from the exhibition with grant funds, include these works of art in your slides and indicate the price of each. If conservation treatment is planned for works of art in the exhibition (such works must be owned by the applicant), submit **one copy** of both a condition report and a treatment proposal (**one-page** maximum each) that has been signed and dated by the conservator who will carry out the work.

2. For all exhibition applicants, **one copy** of a representative list (in chronological order; **two-page** maximum) of artists/exhibitions that your organization has presented and plans to present to the public for the following years: 1995-96, 1996-97, and 1997-98. Note the title and date of the exhibition or project, and the curator, artist, or other collaborator(s). Indicate whether or not the exhibition traveled to other venues. Provide examples that exemplify your ability to carry out the proposed project.
3. For publications (including exhibition requests that include a catalogue), up to 20 slides of work to be included as well as sample text entries, if available. Include your production schedule and distribution plans. Also submit **one copy** each of two publications that have been published by your organization within the past three years and that can document your organization's ability to produce a publication similar to that for which support is requested. See also "How to Submit Work Samples" on page 54. [NOTE: If your application is for an exhibition that includes a catalogue, submit a total of 20 slides to cover both items 1. and 3.]

Electronic "publications" may be supported, but you must contact Endowment staff about the submission of work samples.

4. For conservation projects, no more than 20 slides that document the artistic excellence and significance of the collection(s)/object(s) to be conserved. If more than one object is included in the project, list the objects in priority order. For each object, include **one copy** of both a condition report and a treatment proposal (**one-page** maximum each) that has been signed and dated by the conservator who will carry out the work. See also "How to Submit Work Samples" on page 54.

Make sure that your "Details of the Proposed Project" narrative on the application form (pages 81-85) discusses your plans for future exhibition of the objects and describes briefly other conservation projects that have been undertaken by your organization during the past three years.

5. For career development activities, **two copies** of your organization's brochure and/or course listing for the current year and **one copy** of a list that provides the names and current professional affiliations of participants from the past two years.
6. For other museum projects, a **concise sampling** of slides (no more than 20) or other audio visual material, brochures, publications, curricular packages, or published articles that can enhance a reviewer's understanding of the proposed project. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Music Projects (including music presentation)

In addition to those materials that are required of all organizations, applicants who select **Music** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **Two copies** of a representative list (in chronological order) of artists and works that your organization has performed or presented to the public for the following years: 1993-94, 1994-95, 1995-96, and 1996-97 (**two-page** maximum per year). Provide examples that exemplify your ability to carry out the proposed project.

Note, as appropriate:

- The titles of the works.
- The composer.
- The performing artist(s)/group(s). List any guest artists, soloists, or collaborating ensembles that were of key importance to the presentation.
- The dates, location(s), and the number of public performances/events. Include attendance figures where available.
- For music presenting projects, individual artists' fees and the total of artists' fees for each season.

In addition, submit **two copies** each of your season brochure for the previous and current year.

2. **For projects (other than presentation) that involve music ensembles** (orchestras, chamber or jazz ensembles, choruses), **two copies** of a composite cassette (20 minutes maximum duration) of unedited performances which took place within the past two years and, where appropriate, were conducted by the music director. Include, as the first selection, the piece which best represents the performance level of the ensemble. You do not need to include entire works; sections of movements are acceptable. [NOTE: If you are applying for a consortium project, provide **two copies** of a cassette from each consortium member that is a music ensemble.]

Include at least two contrasting selections that are representative of the ensemble's basic repertoire, size, and style. Include only the members of the applicant ensemble; do not include soloists. Choruses should include an a cappella section. Jazz ensembles should include samples of improvisation and full ensemble passages. List all selections on a given composite cassette as one work sample on the Work Sample Index on page 93.

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Music Festivals should submit **two copies** of a composite cassette (20 minutes maximum duration) which features unedited performances by professional artists, including emerging artists or artists who may not be widely known. Performances should be representative of festival presentations within the past two years. List all selections on a given composite cassette as one work sample on the Work Sample Index on page 93.

Music Presenting Projects should submit **two copies** of a composite cassette (20 minutes maximum duration) which features unedited performances by professional artists, including emerging artists or artists who may not be widely known. Performances should be representative of presentations within the past two years. List all selections on a given composite cassette as one work sample on the Work Sample Index on page 93.

See also "How to Submit Work Samples" on page 54.

3. If your project involves the creation of work, two copies of a cassette of an excerpt or excerpts of work by the proposed composer(s) if the composer(s) are not already included in # 2 above. Work samples must be representative of current work. See also "How to Submit Work Samples" on page 54.

4. For recording projects (choose a. or b. below):

a. **Two copies** of a composite cassette with the work(s) to be recorded, performed by the proposed artist(s)/ensemble(s) and, where applicable, a performance from standard repertoire; **or**

b. **Two copies** of a composite cassette of representative works by the composer(s) proposed for the project and recent, unedited, live performances by the performing artist(s)/ensemble(s) to be involved in the project.

See also "How to Submit Work Samples" on page 54.

5. For career development activities, two copies of your organization's brochure and/or course listing for the current year and a list that provides the names and current professional affiliations of participants from the past two years. Include **two copies** of a composite cassette (20 minutes maximum duration) of performances by participants where available and relevant to the proposed project. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Musical Theater Projects

In addition to those materials that are required of all organizations, applicants who select **Musical Theater** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project.

The Endowment will make every effort to see that a site visit is made to your organization (see also "Site Visits" on page 27).

1. **Two copies** of a representative list (in chronological order; **two-page** maximum) of works that your organization has performed or presented to the public for the following years: 1993-94, 1994-95, 1995-96, and 1996-97. Provide examples that exemplify your ability to carry out the proposed project.

Note, as appropriate:

- The titles of the works.
- The composer, bookwriter/lyricist, and director.
- The performing companies, as applicable.
- The location(s) and the number of public performance/events. Include attendance figures where available.
- For the 1996-97 season, average actors' weekly salary for rehearsals and performances.

2. For projects that involve the creation of work, two copies of a **one-page** statement from the Artistic Director that discusses the reasons for selecting the work(s) to be included in the project, and his or her artistic vision for the project. Wherever possible, also submit a **one-page** artistic statement that has been written by the primary creative artist(s).
3. **(OPTIONAL)** **Two copies** of a composite audio or video cassette (10 minutes maximum duration) of unedited performances which took place within the past two years and that are relevant to the proposed project. Include at the beginning of the tape the selection which best represents the work and performance level of the organization. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Opera Projects

In addition to those materials that are required of all organizations, applicants who select **Opera** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **Two copies** of a representative list (in chronological order) of artists and works that your organization has performed or presented to the public for the following years: 1993-94, 1994-95, 1995-96, and 1996-97 (**two-page** maximum per year). Provide examples that exemplify your ability to carry out the proposed project.

Note, as appropriate:

- The titles of the works.
- The composer.
- The performing artist(s). Also list any collaborating artists that were of key importance to the presentation.
- The dates, location(s), and the number of public performances/events. Include attendance figures where available.

In addition, submit **two copies** each of sample programs and brochures for the previous and current season.

2. **Two copies** of a **one-page** statement from the Artistic Director (or the person with primary artistic responsibility) that discusses the reasons for selecting the work(s) to be included in the project, and his or her artistic vision for the project. Wherever possible, also submit a **one-page** artistic statement that has been written by the primary creative artist(s).
3. **Two copies** of a composite audio cassette (20 minutes maximum duration) of unedited performances which took place within the past two years and that are relevant to the proposed project. You may also submit **two copies** of a video cassette (20 minutes maximum duration), if relevant to the proposed project. See also "How to Submit Work Samples" on page 54.
4. For projects that involve the creation of work, **two copies** of an audio or video cassette or slides (no more than 12) that include an excerpt or excerpts of work by the primary creative artist(s). The primary creative artist is the individual (or individuals in the case of group or collaborative projects) who has responsibility for the artistic vision of the project. Work samples must be representative of current work and, wherever possible, convey a clear sense of the artist's (artists') conceptual approach to the proposed project. A project that is of a particular aesthetic, for example, should be supported by work samples which reflect that aesthetic. Similarly, applicants proposing group projects or collaborations should submit samples which demonstrate such work. See also "How to Submit Work Samples" on page 54.

5. For recording projects (choose a. or b. below):

- a. **Two copies** of a composite cassette with the work(s) to be recorded, performed by the proposed artist(s)/ensemble(s)/company(ies) and, where applicable, a performance from standard repertoire; **or**
- b. **Two copies** of a composite cassette of representative works by the composer(s) proposed for the project and recent, unedited, live performances by the performing artist(s)/ensemble(s)/company(ies) to be involved in the project.

See also "How to Submit Work Samples" on page 54.

6. For career development projects, two copies of your organization's brochure and/or course listing for the current year and a list that provides the name and current professional affiliation(s) of participants from the past two years. Include **two copies** of a composite cassette (20 minutes maximum duration) of performances by participants where available and relevant to the proposed project. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Presenting Projects

(multidisciplinary presentation only)

In addition to those materials that are required of all organizations, applicants who select **Presenting** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. **Two copies** of a representative list (in chronological order; **two-page** maximum) of artists and works that your organization has presented to the public for the following years: 1995-96, 1996-97, and 1997-98. Provide examples that exemplify your ability to carry out the proposed project.

Note, as appropriate:

- The titles of the works.
- The creator(s): choreographer, composer, playwright, etc.
- The performing company(ies) [or individual performing artist(s) where appropriate].
- The dates, location(s), and the number of public performances/events. Include attendance figures where available.
- Fees paid to artists/companies.

Also submit **two copies** each of season brochures or other promotional materials for the previous and current season.

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2. For projects that involve the creation of work, **two copies** of an audio or video cassette that provides an excerpt or excerpts of work by the primary creative artist(s). The primary creative artist is the individual (or individuals in the case of group or collaborative projects) who has responsibility for the artistic vision of the project. Work samples must be representative of current work and, wherever possible, convey a clear sense of the artist's (artists') conceptual approach to the proposed project. Applicants proposing group projects or collaborations should submit samples which demonstrate such work. See also "How to Submit Work Samples" on page 54.
3. For projects that do not involve the creation of work, a **concise sampling** of slides (no more than 12), a video or audio cassette, published articles, or other materials that can enhance a reviewer's understanding of the artistic excellence and artistic merit of the proposed project. See also "How to Submit Work Samples" on page 54.

Special Application Requirements for Theater Projects (including theater presentation)

In addition to those materials that are required of all organizations, applicants who select **Theater** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project.

Please do not submit video or audio cassettes, slides, or other work samples. The Endowment will make every effort to see that a site visit is made to your organization (see also "Site Visits" on page 27).

1. **Two copies** of a list (in chronological order; **two-page** maximum) of works that your organization has performed or presented to the public for the following years: 1993-94, 1994-95, 1995-96, and 1996-97.

Note, as appropriate:

- The titles of the works.
- The playwrights and directors.
- For presenters, the performing companies/primary creative artists presented.
- The location(s) and the number of public performance/events. Include attendance figures where available.
- For the 1996-97 season, average actors' weekly salary for rehearsals and performances.

2. **Two copies** of a **one-page**, signed statement from the Artistic Director that relates the goals of the proposed project to the artistic vision of the organization and discusses the reason for selecting the work that is to be included in the project.

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3. Wherever possible, **two copies** of a **one-page** artistic statement that has been written by the primary creative artist(s). The primary creative artist is the individual (or individuals in the case of collaborative projects) who has responsibility for the artistic vision of the project.
4. For projects that involve touring, two copies of a tentative itinerary and roster of companies/works/activities for which support is requested.
5. If you are applying for support of a theater journal or a study guide, two copies each of two works that are similar to that for which you are requesting support. For journals, indicate your circulation and sales figures, numbers and rates of paid subscriptions, writers' fees, and the frequency of publication.

Special Application Requirements for Visual Arts Projects

(including public art projects)

In addition to those materials that are required of all organizations, applicants who select **Visual Arts** (see "Discipline/Field" instructions on pages 59-60) must submit the following items, as appropriate to the proposed project:

1. For all visual arts applicants, no more than 20 slides that depict the breadth of work to be included in the proposed project. Include a typed script that lists the artist, title, dimensions, medium, date, and a brief description of each work. Note whether the works are those to be included in the project or representative examples. Include a brief sampling of education and interpretive materials (proposed or past) wherever relevant to the proposed project.

If you are applying for an exhibition that is to be circulated, provide a list of venues with dates and degree of commitment. Note any artists who are scheduled for personal appearances.

2. For all visual arts applicants, two copies of a representative list (in chronological order; **two-page** maximum) of artists/projects/exhibitions/works that your organization has produced/presented and plans to produce/present to the public for the following years: 1995-96, 1996-97, and 1997-98. Provide examples that exemplify your ability to carry out the proposed project.

Note, as appropriate:

- The titles of the works/productions/exhibitions, etc. (Note whether each was developed/produced by your organization or whether it was originated elsewhere.)
- The curator(s) and visual artists.
- The dates, location(s), and duration of project. Include attendance figures where available.
- Fees paid to artists.

3. **For publications, four copies** each of one or two works similar to the request that have been published by your organization within the past three years. Include a sample of the proposed written material, if available. Include your production schedule and distribution plans.

Electronic “publications” may be supported, but you must contact Endowment staff about the submission of work samples.

4. **For public art projects, one copy** of a **one-page** description of the artist selection process and the artist’s proposed working process and its relationship to the site and the community. Include letters of commitment from the artist and from the appropriate community participants.

5. **For career development activities, two copies** of your organization’s brochure and/or course listing for the current year and **one copy** of a list that provides the names and current professional affiliations of participants from the past two years.

How to Submit Work Samples

Work samples are a crucial element of your application. Please take the time to select samples that communicate effectively the range and quality of your proposal. Samples should be recent and as relevant to the proposed project as possible. Be sure that the samples themselves are of high quality.

Review the Special Application Requirements for the appropriate discipline/field before you prepare your work sample. Remember, this must be the same discipline/field that you select as most relevant to your project in line with the "Discipline/Field" instructions on pages 59-60.

Given the large amount of material and the limited time that is available for the review of work samples, applicants must submit a well-organized presentation that identifies the portion of their work that they would most like those evaluating their application to see and/or hear. **Reviewers generally spend no more than three to five minutes on the work sample(s) for each application. Organize your submission accordingly. Provide any instructions that are necessary on the Work Sample Index on page 93.**

Please be aware that the entire sample (not just the selected segment) is considered to be a part of the application package and may be reviewed.

Applicants who are intending to use advanced technologies should call the Arts Endowment staff in the relevant discipline/field before preparing a submission to make sure that the Endowment has the appropriate equipment (see the telephone listing on page 4).

All Work Samples

1. **Label each sample clearly with the:**

- Name of applicant.
- Name(s) of the artist(s)/group(s)/company(ies) featured.
- Title(s) of work(s), as relevant.
- Composer/author/producer/choreographer, etc., as relevant.
- Date(s) of performance/work/activity.
- For CD-ROMs, indicate the playing environment, i.e., IBM or MacIntosh, Windows 95 or PowerMac, etc.

Wherever relevant, label both the cassette or disc, and its container. If you are submitting slides, see the instructions on the next page.

How to Submit Work Samples (continued)

2. **For audio and video cassettes**, place the selection(s) that you would most like reviewed in priority order at the beginning of the tape. Indicate the accumulated elapsed real time of each. For example, starting at the beginning of a 15-minute tape, Selection 1 would be indicated as 0'00" (assuming it begins at the beginning of the tape). If five minutes elapse from the beginning of the tape to where the second selection starts, Selection 2 would be indicated as 5'00", etc. **For compact discs**, indicate the track number(s) that you want reviewed in priority order.
3. **Use the Work Sample Index** on page 93 to provide a list of the work samples that you are submitting. Please list the work(s) in order and credit key participants. Explain how the samples relate to the project for which funds are requested. (Planning & Stabilization applicants should explain how the samples relate to the work of their organization.) **Be sure to provide cue or track information where that is relevant.**

Work samples generally will not be returned. The Arts Endowment will attempt to return work samples when the applicant specifically requests that we do so. The Endowment cannot be responsible for any loss or damage.

Specific Instructions for Certain Types of Work Samples

Audio cassettes: Work may be submitted on a 1/4" audio cassette or on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only. For DATs, program a separate track for each selection on the tape.

Slides: Slides must be 35 mm and suitable for carousel projection. Do not submit glass slides and do not use masking tape or other thick tape to label slides. Slides must be submitted in the following manner:

- Number each slide.
- Place an ink dot on the **front bottom left** of each slide to guarantee that it is projected correctly.
- Place the slides in a 9 inch by 11 inch clear plastic file sheet.
- **List your set of slides as one work sample on the Work Sample Index form.** Attach to the Work Sample Index a numbered list of the individual slides. Be sure that the numbers on your list correspond to the numbers on each slide. Provide the following information, as applicable, about each slide:
 - A brief description of the work, including how this image relates to the proposed project.
 - Artist's name.
 - Title of slide/work.
 - Medium.
 - Date of work/activity.
 - Dimensions of artwork.

How to Submit Work Samples (continued)

Video cassettes: Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed. Betacam, 1 inch or 2 inch video cassettes cannot be played for the reviewers, nor can video cassettes in PAL/SECAM or other non-NTSC formats. Be sure that the video cassette is of a technical quality that can be easily seen and heard.

Completing the Application Forms

These instructions are keyed to the sections of the application forms on pages 75-96 of this booklet.

When completing these forms, be sure to:

- Put the applicant organization's name at the top of every page.
- Type all information. Handwritten applications will be rejected.
- Use a type size of at least 10 points.
- Respond to every question. If necessary, use "N/A," "unknown," or explain briefly why you cannot answer a given item.
- Submit **the original and two copies** with your application package.

BASIC INFORMATION/SIGNATURES (page 75)

APPLICANT:

- If this guideline booklet came with a National Endowment for the Arts peel-off mailing label, attach that label in this space. If it is present, it will be pink and have an Arts Endowment number directly above the organization's name. Cross out any errors and print the correct information on the label. Add any missing items such as suite number and zip code information.
- If you did not receive an Arts Endowment label, type your organization's name (official IRS name) and address in the spaces provided.

The name provided here and at the top of each page must be identical to the applicant's legal name in the IRS determination letter for tax-exempt status or in the official document that identifies the organization as a unit of state or local government. If the applicant uses a popular name that is different from the official IRS name, you may note the organization's more commonly used name in parentheses after the IRS name.

FEDERAL ID NUMBER: Enter the 9-digit, tax-exempt number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

THIS APPLICATION IS BEING SUBMITTED BY A:

- **If you are the lead member of a consortium**, check the "Lead Member of a Consortium" box and list your consortium members in the space provided. As the lead member, you must complete and submit the application, **and** have all other members of the consortium complete and sign a "Consortium Member Information Form." (One blank form appears on page 95.) You must countersign each one of the completed consortium member forms; include all of them as part of your application package.
- **If you are acting as the fiscal agent for another organization**, check the "Fiscal Agent" box and enter the name of the group on whose behalf you are applying in the space provided. Items that relate to the official applicant should refer to your own organization. All other sections, e.g., Project Overview, Organizational Background, Details of the Proposed Project, etc., should refer to the organization and project on whose behalf you are applying.
- **If you are the parent institution applying on behalf of an eligible separate component**, check the "Parent of a Component" box and enter the name of the component in the space provided. Items that relate to the official applicant should refer to the parent organization. All other sections, e.g., Project Overview, Organizational Background, Details of the Proposed Project, etc., should refer to the eligible component and not to the larger entity.

If you are none of the above, leave this section blank.

DIRECTOR OF APPLICANT ORGANIZATION/DIRECTOR'S DAYTIME

TELEPHONE & EXTENSION/TITLE: Provide this information for the director of the applicant organization only.

PROJECT DIRECTOR/TITLE/PROJECT DIRECTOR'S DAYTIME

TELEPHONE/FAX NUMBER: Provide this information for the project director. This is the individual who is most knowledgeable about this application.

E-MAIL/WWW/TTY/TDD NUMBER (if available): If the project director has an E-mail address, WWW, and/or a TTY/TDD number, supply that information as well. Otherwise, enter "N/A."

CATEGORY: Using the following list, select the category under which you are applying. Enter that category **and** its numerical code, e.g., for Education & Access enter "Education & Access 7." **Choose only one:**

- Heritage & Preservation 6
- Education & Access 7
- Creation & Presentation 5
- Planning & Stabilization 9

Completing the Application Forms (continued)

DISCIPLINE/FIELD: Please read these instructions carefully. This selection will aid the Endowment's review process and help you prepare your application. When you prepare your application package, **you must follow the Special Application Requirements for the discipline/field that you select here.** On the application form, enter that discipline/field **and** its numerical code, e.g., for Dance, enter "Dance 33." Read all the options before you make your selection, and **CHOOSE ONLY ONE.**

OPTION 1

- Select **Media Arts 34**
If you are applying for a broadcast program or documentary on any art form.
(Do not select the discipline to be broadcast or documented.)

OPTION 2

If you are not proposing a broadcast program or documentary,

- Select **Arts Education 51**
If you are submitting an application from an arts education organization **or** the primary focus of your project is curriculum-based pre-K through 12 activity. (If your project is not curriculum-based, select the appropriate discipline/field and not "Arts Education.")
- Select **Folk & Traditional Arts 55**
If you are submitting an application from a folk & traditional arts organization **or** the primary focus of your project is the folk & traditional arts.

OPTION 3

If you have not selected one of the options above,

- Select **Local Arts Agencies 62**
If your organization meets the criteria for local arts agencies on page 6 **or** is a state-wide assembly of local arts agencies.
- Select **Museums 44**
If you are submitting an application from a museum.
- Select **Presenting 54**
Only if you are applying for a **multidisciplinary** presenting project. (If your project involves a single discipline, even if your organization is a multidisciplinary presenter, select the appropriate discipline from the list on the next page.)

(NOTE: Options continue on next page.)

OPTION 4

If you have not entered one of the codes above, select the one discipline/field from the list below that is most relevant to your proposed project. If there is more than one dominant discipline, select Multidisciplinary.

Dance , including dance presentation	33
Design	42
Literature	52
Media Arts (projects other than those described in Options 1-3 above)	34
Multidisciplinary	70
Music , including music presentation	31
Musical Theater	28
Opera	36
Theater , including theater presentation	32
Visual Arts , including public art projects	41

PERIOD OF SUPPORT is the span of time that is necessary to plan, execute, and close out your proposed project. Use two-digit numerals, e.g., 03/01/98 to 12/01/99 for March 1, 1998 through December 1, 1999. A grant period of up to two years is allowed.

AMOUNT REQUESTED: Indicate the amount that you are requesting from the Arts Endowment. Round your request to the nearest \$100.

TOTAL PROJECT COSTS represent all expenses toward which National Endowment for the Arts funds, if awarded, and matching funds could be applied. This is a restatement of the Total Project Costs listed on page 77.

TOTAL ORGANIZATIONAL OPERATING EXPENSES FOR THE MOST RECENTLY COMPLETED FISCAL YEAR: If you are a fiscal agent or a parent organization applying on behalf of a component, enter the total operating expenses for the group or component on whose behalf you are applying. If you are the lead applicant for a consortium, provide this information for your own organization. This item is a restatement of the Total Expenses listed on the Financial Information Sheet on page 91.

AUTHORIZING OFFICIAL/TITLE/TELEPHONE & EXTENSION/FAX NUMBER: Provide this information for the official of the applicant organization with the legal authority to obligate the organization.

SIGNATURE OF AUTHORIZING OFFICIAL/DATE: The authorizing official should sign where indicated. If your organization wishes to identify more than one authorizing official for this project, please provide the information requested under "Additional Authorizing Official" and have the second authorizing official sign in the space provided.

By signing this cover sheet, the authorizing official certifies that the information contained in the application, including all attachments and supporting materials, is true and correct to the best of his/her knowledge, and that the organization will comply with the requirements that are outlined in the "Assurance of Compliance" section of these guidelines.

If the application is on behalf of a separately identifiable and independent unit, the authorizing official also certifies that this unit meets the eligibility criteria for independent components that are outlined on page 7.

ARE YOU DELINQUENT ON THE REPAYMENT OF ANY FEDERAL DEBT?

The applicant organization must certify that it is not delinquent on any Federal debt or, if it is, provide explanatory information. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances*, and benefit overpayments.

*Recipients of an Arts Endowment letter that requests a refund of Endowment funds because of disallowed costs are considered to be delinquent until the funds have been repaid or other arrangements have been made.

PROJECT OVERVIEW (page 77)

TITLE OF PROPOSED PROJECT: Provide a title (one-line maximum). The Endowment will use this title in any correspondence with you about the project.

SUMMARY OF PROPOSED PROJECT: Briefly describe how you plan to use the Arts Endowment and matching funds (three-line maximum).

MISSION/PURPOSE OF YOUR ORGANIZATION: Briefly summarize the mission and purpose of your organization (three-line maximum). For organizations whose work extends beyond the cultural sphere, e.g., universities, human service agencies, etc., summarize your mission as it pertains to your public cultural programs and/or services. Fiscal agents/parent organizations should relay the mission/purpose of the organization/component on whose behalf they are applying.

SUMMARY OF ESTIMATED COSTS is a restatement of direct costs and indirect costs from pages 87-89. **TOTAL PROJECT COSTS** represent all expenses toward which National Endowment for the Arts funds, if awarded, and matching funds could be applied.

RESPONSIBILITY FOR ORGANIZATION AND PROJECT: Enter the name and title of the individual(s) who have primary artistic and managerial responsibility for your organization and your project. You may enter more than one name if responsibility is shared equally. Enter "N/A" if an item is not relevant to your application.

ORGANIZATIONAL BACKGROUND (page 79)

Complete in the space provided (one-page maximum). DO NOT CONTINUE ON ADDITIONAL PAGES. Please do not repeat information that is included in other sections of this application; reviewers react unfavorably to redundancy.

In this space:

- a) Give a brief overview and history of your organization.
- b) Describe the full range of your activities and provide two or three examples which can help demonstrate your organization's ability to carry out the proposed project.
- c) Address the general demographics (ethnicity, income, and age) of the community/region/audience that you serve. If you are a membership organization, include your current membership count, e.g., by number of individuals and/or number of organizations.
- d) Explain some of your efforts to reach a broad segment of the community through programming, services, administration, staffing, and marketing.

If you are:

- A lead member of a consortium, this information should refer to your organization; other consortium members are required to complete and submit the "Consortium Member Information Form" on page 95.
- A component of a larger organization (e.g., a presenter within a university), all information should refer to the component, not to the larger entity.
- A fiscal agent, all information should refer to the organization on whose behalf you are applying.

DETAILS OF THE PROPOSED PROJECT (pages 81-85)

Complete in no more than the three pages that are provided. Do not submit any additional pages and do not type outside the box. You do not have to use all three pages. The Endowment welcomes succinct narratives. Please do not repeat information that is included in other sections of this application; reviewers react unfavorably to redundancy.

THIS NARRATIVE IS VERY IMPORTANT. IT IS YOUR OPPORTUNITY TO SPEAK DIRECTLY TO THOSE WHO WILL BE REVIEWING YOUR APPLICATION. It is essential that you provide a concise and direct summary of the information that is necessary for a full understanding of **your proposed project**.

The Arts Endowment realizes that every project is different. However, each proposal will be judged against the "Review Criteria" for the category under which you apply. The following suggestions are provided to assist you in preparing a successful application:

- Re-read the "Review Criteria" for your category before you write this narrative.
- **COMPLETE, YET CONCISE, INFORMATION IS CRUCIAL TO THE SUCCESS OF YOUR REQUEST.**
- Use language that will be comprehensible to readers who may not be familiar with your discipline/field.
- **DO NOT REPEAT INFORMATION.**
- Do not exceed the three pages that are allowed for this project narrative. (Excess pages will not be provided to reviewers.) **Do not use a font that is less than 10 points or reduce the text.**
- White space and headings enhance your narrative. Reviewers find dense blocks of text difficult to study.
- Put your organization's name at the top of every page.

The following questions are intended to provide a **framework** for you to describe your project. **Address only those items below that are relevant to your project and that will support your application.** If you feel that the reviewers need to know other information about your project, provide that information as well, **within the three-page space provided.**

a) How would you describe your proposed project, its goals, and artistic vision? Explain its appropriateness to your organization.

How do you see your project addressing the purpose(s) of the category under which you are applying? (Remember that your project need address only one of the purposes; some will address more; either is fine.)

Planning & Stabilization applicants should outline the major challenges that currently face the organization, the major tasks to be accomplished, and how the proposed project fits within these.

(NOTE for applicants whose requests include support for new technologies: While the Endowment is supportive of new technologies, it encourages applicants to examine their own situation and priorities to determine if the use of new technologies is a necessary and appropriate part of the project for which support is requested. Applications must demonstrate well-conceived plans and appropriate expertise in this area.)

- b) Who/what are the participating artist(s)/company(ies)/work(s)? Are they committed to the project or proposed? If not stated as committed, all artist(s)/company(ies)/work(s) will be considered proposed. Where relevant, how have they been involved in the development of the project to date? Describe the basis on which they have been selected or the qualifications that you seek. Provide the most current information that you have.
- c) What is the proposed schedule?
- d) What is the division of responsibilities between artist(s) and the organization, including any agreements as to the ownership of completed work, where relevant?
- e) What site(s) and other resources (equipment, space, special supplies, etc.) will your project utilize? If your project specifically reaches beyond your own community (e.g., touring, broadcast, publishing distribution) please identify, to the extent possible, communities to be reached.
- f) Who is your intended audience(s)? Whenever possible, provide an estimate of the number of people the proposed project will serve. If your project is targeted to a specific population, describe your efforts to include that population in the planning for and implementation of the project. Where relevant, describe how the proposed project can 1) help reach underserved populations (including individuals with disabilities) and/or audiences that have not been served before, and 2) generally broaden public understanding of the arts.
- g) How do you plan to promote and publicize the project?
- h) Where relevant, what is the relationship of the proposed project to what has been done on the same subject in the past, by either your organization or others?
- i) Where relevant, what are your plans for evaluating, whether formally or informally, and documenting the project? This item is particularly important if you are applying for a model project or if you are working in the field of arts education.
- j) Where relevant, what are your plans for disseminating the finished project and/or the project results?

Completing the Application Forms (continued)

- k) Does your project involve collaboration with other organizations? If so, please describe.
- l) Where applicable, what are your plans to continue the project beyond the period of Endowment support?

PROJECT BUDGET (pages 87-89)

[BREAKDOWN OF "SUMMARY OF ESTIMATED COSTS"]

DIRECT COSTS are those that are identified specifically with the project.

DIRECT COSTS: Salaries and wages for performers and related or supporting personnel must be estimated at rates no less than the prevailing minimum compensation as required by the Department of Labor Regulations. See "Legal Requirements" on page 32. Include artist compensation here if artists are paid on a salary basis. (Do not include incidental items, such as artist transportation and housing.) When listing salaries as a project expense, be sure to cite the number of personnel, the salary range, and the percentage of time that is devoted to the project where indicated. Fringe benefits may be included here only if they are not included as indirect costs. Do not include salaries and wages that are incurred in connection with fundraising.

Fringe benefits are those costs other than wages or salary that are attributable to an employee, as in the form of pension, insurance, etc.

DIRECT COSTS: Supplies and materials include consumable supplies, raw material for the fabrication of project items, and items that cost less than \$5,000 per unit and have an estimated useful life of one year or less. List each major type separately.

DIRECT COSTS: Travel must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and all travelers use transportation costing no more than air coach accommodations. Foreign travel, if any is intended, must be specified in this section and must conform with government regulations. If Arts Endowment funds are received for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.

DIRECT COSTS: Permanent equipment includes purchased equipment that costs \$5,000 or more per unit and has an estimated useful life of more than one year. Written justification is required and should include a brief description of the items and technical specifications where relevant.

DIRECT COSTS: Fees for services and other expenses include consultant and artist fees, honoraria, contractual services, rental of space or equipment, telephone, photocopying, postage, and transportation of items other than personnel. Include artist compensation if artists are paid on a fee basis. With consultant and artist fees, honoraria, or contracts for personal or professional services, please specify the number of persons and the applicable fee, rate, or amount of each. For films, books, catalogues, and other major expenses, provide a breakdown of costs. Do not include fundraising, entertainment, fines and penalties, bad debt costs, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period. You may attach additional sheet(s) if necessary.

NOTE: Costs of program accommodations for artists and audience members with various disabilities (e.g., sign language interpreters, cassette recordings of printed materials, large print labeling, audio description, hearing amplification systems) generally are eligible project costs.

INDIRECT COSTS (OVERHEAD) are costs incurred for common or joint objectives and that are not readily assignable to specific projects or activities. Such costs are computed by means of an indirect cost rate that has been negotiated with the Arts Endowment or another Federal agency. (Please attach a copy of your negotiated agreement, if applicable.)

Organizations that wish to include overhead charges in the budget but do not have a current Federally negotiated indirect cost rate may complete the application form using an estimated rate. If the application is approved, the organization must seek guidance on how to prepare an indirect cost rate proposal from the Office of Inspector General, Room 528, National Endowment for the Arts, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506-0001 (202/682-5402).

TOTAL MATCH FOR THIS PROJECT: The Arts Endowment generally requires each applicant to obtain at least half the total cost of each project from non-Federal sources. (Some grants require a 3-to-1 match.) Provide detailed information that will help the individuals who will be reviewing your application understand your budget. Be as specific as possible. Asterisk (*) those funds that are committed or secured.

Cash match refers to the cash donations that are anticipated for this project.

In-kind contributions are calculated at the verifiable fair-market value of integral and necessary goods and services directly benefiting and specifically identifiable to the project. **In-kind contributions must also be reflected in the project's total direct costs.** Identify sources.

Grants include all or a pro rata share of anticipated grants either wholly or partially restricted for use on this project. **Do not list any Arts Endowment or other Federal grants that are anticipated or received.** A grant is generally characterized by written authority to spend up to a specified amount of money for specified purposes. Identify sources.

Revenues include all other funds, regardless of source, that are expected to be used on this project. Identify sources.

FINANCIAL INFORMATION SHEET (page 91)

Provide the requested information for your organization for the most recently completed fiscal year, the current fiscal year (estimated), and the next fiscal year (projected). If you are the lead applicant for a consortium, provide this information for your own organization. If you are a fiscal agent or a parent organization, provide this information for the group or component on whose behalf you are applying. For components, footnotes may be helpful to explain the relationship that the component has with the larger entity. If the component is a university art museum, for example, notes such as "museum guards and utilities are paid for by the university" "deficits are absorbed by the university" should be included.

Although financial statements no longer identify an organization's "Operating Fund," organizations annually prepare a projected operating budget and monitor/modify the budget throughout the year. This page is intended to show your organization's fiscal activity as it relates to operations. Do not include activity related to a capital campaign (such as raising money for a new facility or endowment fund or cash reserve fund). Please include a separate sheet to explain: 1) any significant changes (i.e., more than 15%) in either your income or expenses from one year to the next, and 2) plans for reducing a deficit.

Use the following definitions when completing this form.

Earned Income: Revenues that are received through the sale of goods, services performed, or from investments. Examples: ticket sales, subscription revenue, contractual fees.

Contributed Income: Gifts that are received which are available to support operations. Examples: annual fund donations, general operating support or project grants, and in-kind contributions.

Artistic salaries and fees: Costs that are directly related to the creation, production, and presentation of art work. Examples: fees for dancers, choreographers, actors, curators, artistic directors, contributors to literary publications. Include arts personnel that are on your staff as well as those that are paid on a contract or fee basis.

Production/exhibition/service expenses: All program or service delivery costs, excluding artistic salaries and fees that are listed above. Examples: presentation costs; costs of sets, costumes, and lighting; publication costs of catalogues or literary magazines.

Administrative expenses: All other costs that are incurred during the normal course of business. Examples: outside professional non-artistic services, space rental, travel, marketing, administrative salaries, utilities, insurance, and postage.

For Planning & Stabilization applicants with budgets over \$200,000 only: Net assets is defined as the excess of assets over liabilities, similar to the outdated term, "fund balance."

There are three classes of net assets: unrestricted, temporarily restricted, and permanently restricted. **Unrestricted net assets** are all funds which do not have any restrictions imposed by a donor; include any board-restricted funds here.

Temporarily restricted net assets are donations for which the donor has stipulated restrictions that will either expire with the passage of time or be fulfilled through action by the organization. **Permanently restricted net assets** are donations for which the donor has stipulated restrictions that will never expire or be fulfilled by the organization.

WORK SAMPLE INDEX (page 93)

Review the "Special Application Requirements" for your discipline/field and "How to Submit Work Samples" on page 54. If you are required to include work samples as part of your application package, list those samples on this Index.

CONSORTIUM MEMBER INFORMATION FORM (page 95)

If your application is for a consortium project, **you must have each member of your consortium complete this form.** (See page 9 for a definition of consortium members.) This booklet contains one copy of this form. You may photocopy this blank form and give a copy to each member, or your consortium members may duplicate this form on their computers. **Each consortium member must sign its form and return it to the lead applicant. The director of the lead applicant, in turn, must sign the completed form from each member. The completed forms, including signatures, must be submitted for your application package to be considered complete.**

APPLICANT SELF-IDENTIFICATION & PROJECT CHARACTERIZATION FORM

(page 97 following the application forms)

The information that is requested and the codes that are used on this form are **totally unrelated to the information and codes elsewhere in this booklet.**

The data that is requested here is used for the development of statistical profiles on the organizations and projects that the Arts Endowment supports, and is beneficial for a number of purposes. Your responses here will **not** be used in the review of your application and are **not** a precondition of award. **However, your assistance in providing accurate and complete information is greatly appreciated.**

INFORMATION ON THE APPLICANT ORGANIZATION

If you are a fiscal agent or a parent organization that is applying on behalf of a component, the information in this section should refer to the group or component **on whose behalf you are applying**. For example, a university applying on behalf of an art museum should indicate their organization type as "Museum - Art, 08" and not "College/University, 26."

If you are any other type of applicant (including the lead member of a consortium) this information should refer to your organization.

ORGANIZATION'S DATE OF INCORPORATION: Self explanatory.

APPLICANT STATUS: Using the following codes, identify the **ONE** item which best describes your legal status, e.g., if a not-for-profit orchestra, use 02.

Nonprofit organization	02
For-profit organization	03
Federal government	04
State government	05
Regional government	06
County government	07
Municipal government	08
Tribal government	09
None of the above	99

APPLICANT INSTITUTION: Using the following codes, identify the ONE item which best describes your organization.

Performing Group	03
Perf. Group - College/Univ.	04
Perf. Group - Community	05
Perf. Group - Youth	06
Performance Facility	07
Museum - Art	08
Museum - Other	09
Gallery/Exhibition Space	10
Cinema	11
Independent Press	12
Literary Magazine	13
Fair/Festival	14
Arts Center	15
Arts Council/Agency	16
Arts Service Organization	17
Statewide Assembly	17A
Union/Prof. Association	18
School District	19
Parent-Teacher Organization	20
School - Elementary	21
School - Middle	22
School - Secondary	23
School - Vocat./Tech.	24
Other School	25
College/University	26
Library	27
Historical Soc./Commission	28
Humanities Council/Agency	29
Foundation	30
Corporation/Business	31
Community Service Organ.	32
Social Service Organization (non-arts)	50
Correctional Institution	33
Health Care Facility	34
Religious Organization	35
Senior (Older Adults) Center	36
Parks & Recreation	37
Govt. - Executive	38
Govt. - Judicial	39
Govt. - Legislative (House)	40
Govt. - Legislative (Senate)	41
Media - Periodical	42
Media - Daily Newspaper	43
Media - Weekly Newspaper	44
Media - Radio	45
Media - Television	46
Cultural Series Organization	47
School of the Arts (arts education as its primary educational mission)	48
Arts Institute/Camp	49
Artists' Community	49A
Child Care Provider	51
None of the above	99

ORGANIZATION DISCIPLINE: Using the following codes, identify the ONE item which best describes your area of work in the arts, e.g., if FOLK ARTS/Dance best describes your area of work, use 12; if DANCE/Ethnic best describes it, use 01B. Please be as specific as possible. **Remember that this is a description of your organization and not of the specific project for which you are applying.**

Dance - Ballet	01A	Design Arts - Architecture	06A
Dance - Ethnic/Jazz	01B	Design Arts - Fashion	06B
Dance - Modern	01C	Design Arts - Graphic	06C
Music - Band	02A	Design Arts - Industrial	06D
Music - Chamber	02B	Design Arts - Interior	06E
Music - Choral	02C	Design Arts - Landscape Architecture	06F
Music - New (incl. experimental, electronic)	02D	Design Arts - Urban/Metropolitan	06G
Music - Ethnic (incl. folk inspired, see "Folk Arts," 12)	02E	Crafts/Craftsmanship	07
Music - Jazz	02F	Photography	08
Music - Popular (incl. rock)	02G	Media Arts - Film	09A
Music - Solo/Recital	02H	Media Arts - Audio (incl. radio, audio art)	09B
Orchestral - incl. symphonic & chamber orch.	02I	Media Arts - Video	09C
Opera/Music Theater - Opera	03A	Literature	10
Opera/Music Theater - Music Theater	03B	Interdisciplinary (Pertaining to art forms/art works that integrate more than one arts discipline to form a single work)	11
Theater - General (incl. classical, contemporary, experimental)	04A	Folk & Traditional Arts (Pertaining to oral, customary material and performance traditions informally learned and transmitted in contexts characteristic of ethnic, religious, linguistic, occupational, and/or regional groups)	12
Theater - Mime	04B	Humanities	13
Theater - Puppet	04D	Multidisciplinary (Pertaining to activities which include more than one discipline.)	14
Theater for Young Audiences	04E	Non-arts/Non-humanities	15
Visual Arts	05		

ORGANIZATION RACE/ETHNICITY: Using the letter designations below, identify the predominant racial/ethnic identity of your board, administrative staff, and audience. If at least half of your board, half of your administrative staff, or half of your audience belongs to one of the listed racial/ethnic groups, then use that designation. If there is not a predominant racial/ethnic identify, use "General." Please identify only ONE item under each of the three headings.

- N **American Indian/Alaska Native.** A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.
- A **Asian/Pacific Islander.** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.
- B **Black, not Hispanic.** A person having origins in any of the black racial groups of Africa.
- H **Hispanic.** A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- W **White, not Hispanic.** A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- M **Multi-Ethnic.** Any combination of two or more racial groups if the combination comprises more than 50% of the total. However, if any one racial group makes up 50% or more of the total, you must use the code for that racial group.

ORGANIZATION'S TOTAL OPERATING EXPENSES: Provide your organization's total operating expenses for the most recently completed fiscal year. Operating expenses should not include funds that are placed in cash reserves or endowments, or funds that are set aside for renovation or improvement of a facility. This figure should agree with the "Total Expenses" figure on your Financial Information Sheet (see page 91).

ACCESSIBILITY/INDIVIDUALS WITH DISABILITIES: Put a "Y" for Yes in each of the boxes that includes an Individual with a Disability; otherwise leave blank. An individual with a disability is a person who has a physical or mental impairment that substantially limits one or more major life activities.

ACCESSIBILITY/OLDER ADULTS: Put a "Y" for Yes in each of the boxes that includes an Older Adult (65 years of age or older); otherwise leave blank.

PROJECT CHARACTERIZATION

The information in this section relates to the specific project for which you are requesting support. Your response is solicited solely for the purpose of facilitating project information retrieval. These items have no relationship to the category under which you are applying and will have no bearing on how your application is reviewed.

PROJECT/ARTS EDUCATION: Using the following list, select the one Arts Education code which best describes your proposed project. **Choose only one.**

Arts Education: An organized and systematic educational effort with the primary goal of increasing an identified learner's knowledge of and/or skills in the arts with measurable outcomes.

Fifty percent (50%) or more of this project's activities are Arts Education directed to:

K-12 Students	01A
Higher Education Students	01B
Pre-Kindergarten Children	01C
Adult Learners (including teachers and artists)	01D

Some, but less than 50%, of this project's activities are Arts Education directed to:

K-12 Students	02A
Higher Education Students	02B
Pre-Kindergarten Children	02C
Adult Learners (including teachers and artists)	02D

None of this project involves Arts Education

99

PROJECT/PRESENTING AND TOURING: Using the following list, select the one Presenting/Touring code which best describes your proposed project. **Choose only one.**

Presenting or Sponsoring

Presenting or Sponsoring - In State	01A
Presenting or Sponsoring - Regional (multi-state impact, at least one state beyond your home state)	01B
Presenting or Sponsoring - National (four or more states, most of which are outside your home region)	01C

Touring

Touring - In State	02A
Touring - Regional (multi-state impact, at least one state beyond your home state)	02B
Touring - National (four or more states, most of which are outside your home region)	02C

None of the above

99

PROJECT/INTERNATIONAL ACTIVITY:

Includes international component(s)	Y
Includes no international component(s)	N

PROJECT/DESCRIPTORS: Using the following list, enter the code(s) for those items that best describe your specific project. You may indicate more than one item, but do not use more than three. Your response is solicited solely for the purpose of facilitating project information retrieval.

Computer/Digital Technology	9A
Arts for Underserved Rural Communities	9C
Arts for Underserved Inner-City Communities	9D
Arts for "At Risk" Persons (Adults or Youth)	9E
Arts for "Special Constituencies" (e.g., Older Americans, Individuals with Disabilities, Incarcerated Persons)	9F
Minority Outreach (Projects by non-minority organizations whose content supports outreach to minority populations.)	9G
Minority Programming (Projects by non-minority organizations whose content clearly reflects minority groups or the heritage of minority groups.)	9H
National Audience Impact (Projects that reach audiences in four or more states, most of which are outside your home region, whether through broadcasting, publication, or major tours of the visual or performing arts.)	9J
National Field Impact (Projects that are undertaken by national service organizations and projects supporting design or research studies with national implications that will be published for broad dissemination, or intended for future broad dissemination.)	9K



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BASIC INFORMATION/SIGNATURES

75

Instructions for completing this form begin on page 57 of this booklet. Submit the original and two copies of these forms, together with all required materials, to: Information Management Division, Room 815, Category/Discipline, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506-0001.

Applicant (official IRS name):

For ENDOWMENT USE ONLY:
APPLICATION NUMBER

Mailing Address:

Street Address (if different):

Federal ID Number (9-digit, tax-exempt number):

(Check if applicable; otherwise leave blank. See page 58 for instructions.)

This application is being submitted by a: Lead Member of a Consortium Fiscal Agent Parent of a Component
If you have checked one of the boxes above, list here the members of your consortium, or the group or entity on whose behalf you are applying:

Director of Applicant Organization (Mr/s, last, first):

Director's Daytime Telephone & Extension:

Title:

Project Director (Mr/s, last, first):

Title:

Project Director's Daytime Telephone:

Fax Number:

E-mail/WWW (if available):

TTY/TDD Number:

Category:

Discipline/Field (see pages 59-60):

Period of Support (e.g., 03/01/98 to 12/01/99): From:

To:

Amount Requested: \$

Total Project Costs: \$

Total organizational operating expenses
for the most recently completed fiscal year: \$

For year ending (Month/Year):

I certify that the information contained in this application, including all attachments and supporting materials, is true and correct to the best of my knowledge. I also certify that the applicant will comply with the Federal requirements specified under "Assurance of Compliance" on pages 99-100. If this application is on behalf of a separate component, I also certify that this unit meets the eligibility criteria for independent components on page 7.

Authorizing Official (please type):

Title:

Telephone & Extension:

Fax Number:

Signature of Authorizing Official:

Date:

Additional Authorizing Official (if relevant; please type):

Title:

Telephone & Extension:

Fax Number:

Signature of Additional Authorizing Official:

Date:

Are you delinquent on repayment of any Federal debt? No Yes If yes, attach an explanation (one-page maximum).



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PROJECT OVERVIEW

77

Applicant (official IRS name): _____

(Read the instructions on page 61 before you start.)

Title of proposed project (one-line maximum):

_____Summary of proposed project (three-line maximum):

_____To support: _____

_____Mission/purpose of your organization (3 line maximum):

Summary of estimated costs (recap of pages 87-89):

DIRECT COSTS

Salaries and wages	\$ _____
Fringe benefits	\$ _____
Supplies and materials	\$ _____
Travel	\$ _____
Permanent equipment	\$ _____
Fees and other expenses	\$ _____
Total Direct Costs	\$ _____
INDIRECT COSTS	\$ _____
TOTAL PROJECT COSTS	\$ _____

REMINDER:

Amount Requested:	\$ _____
PLUS	
Total match for this project	+ _____
MUST EQUAL	
= Total Project Costs	\$ _____

Responsibility for organization and project

Enter the name and title of the individual(s) with primary artistic and managerial responsibility for:

The organization: Artistic: _____

Managerial: _____

The project: Artistic: _____

Managerial: _____



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ORGANIZATIONAL BACKGROUND 79

Applicant (official IRS name):

(Page 1 of 1. Read the instructions on page 62 before you start.)



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Do NOT continue your narrative in this space.



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DETAILS OF THE PROPOSED PROJECT

81

Applicant (official IRS name):

(Page 1 of 3. Read the instructions on pages 63-65 before you start.)



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Do NOT continue your narrative in this space.



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DETAILS OF THE PROPOSED PROJECT

83

Applicant (official IRS name):

(Page 2 of 3. OPTIONAL. Read the instructions on pages 63-65 before you continue.)



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Do NOT continue your narrative in this space.



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DETAILS OF THE PROPOSED PROJECT

85

Applicant (official IRS name):

(Page 3 of 3. OPTIONAL. Read the instructions on pages 63-65 before you continue.)



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Do NOT continue your narrative in this space.



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PROJECT BUDGET

87

Applicant (official IRS name):

(Page 1 of 2. Read the instructions on pages 65-66 before you start.)

Direct costs: Salaries and wages (Include artists' compensation if paid on a salary basis. Do not include salaries and wages associated with fundraising.)

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
--------------------------------	---------------------	--------------------------------	-----------------------------------	--------

Fringe benefits

Total salaries and wages a. \$ _____
Total fringe benefits b. \$ _____
Total salaries, wages, and fringe benefits (a. + b.) \$ _____

Direct costs: Supplies and materials (List each major type separately.)

Amount

Total supplies and materials \$ _____

Direct costs: Travel (Any foreign travel must conform with government regulations)

Is foreign travel included? Yes No

TRANSPORTATION OF TRAVELERS

Number of travelers	From	To	Amount
---------------------	------	----	--------

Total transportation of travelers a. \$ _____

SUBSISTENCE

Number of travelers	# of days	Daily rate	Amount
---------------------	-----------	------------	--------

Total subsistence b. \$ _____

Total travel (a. + b.) \$ _____



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PROJECT BUDGET

89

Applicant (official IRS name):

(Page 2 of 2. Read the instructions on pages 65-66 before you continue.)

Direct costs: Permanent equipment (Equipment costing \$5,000 or more per unit with an estimated useful life of more than one year. Written justification is required.)

Amount

Total permanent equipment \$ _____

Direct costs: Fees for services and other expenses [List each item separately; include artists' compensation if paid on a fee basis. Do not include fundraising, entertainment, fines and penalties, bad debt costs, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period. Attach additional sheet(s) if necessary.]

Amount

Total fees for services and other expenses \$ _____

Indirect costs: (Where available, attach rate negotiation agreement with the Arts Endowment or another Federal agency)

Rate % x Base = \$

Total match for this project (must equal "total match for this project" on page 77). Provide detailed information that will help the individuals who will be reviewing your application understand your budget. Be as specific as possible. Asterisk (*) those funds that are committed or secured.

Amount

Cash match

Total cash match a. \$ _____

In-kind contributions (identify sources; items must also be shown as direct costs)

Total in-kind contributions b. \$ _____

Grants (identify sources; do not list any Arts Endowment or other Federal grants)

Total grants c. \$ _____

Revenues (identify sources)

Total revenues d. \$ _____

Total match for this project (a. + b. + c. + d.) \$ _____



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FINANCIAL INFORMATION SHEET 91

Applicant (official IRS name): _____

Operating Budget

(Read the instructions on page 67 before you start.)

Most recently completed fiscal year (<u> / </u> - <u> / </u>)		Current fiscal year (estimated) (<u> / </u> - <u> / </u>)		Next fiscal year (projected) (<u> / </u> - <u> / </u>)	
Income:					
Earned	\$ _____	\$ _____	\$ _____	\$ _____	
Contributed	\$ _____	\$ _____	\$ _____	\$ _____	
Total Income	\$ _____ * \$ _____	\$ _____ * \$ _____	\$ _____ * \$ _____	\$ _____ * \$ _____	\$ _____ *
Expenses:					
Artistic salaries and fees	\$ _____	\$ _____	\$ _____	\$ _____	
Production/exhibition/service expenses	\$ _____	\$ _____	\$ _____	\$ _____	
Administrative expenses	\$ _____	\$ _____	\$ _____	\$ _____	
Total Expenses	\$ _____ * \$ _____ **	\$ _____ * \$ _____ **	\$ _____ * \$ _____ **	\$ _____ * \$ _____ **	\$ _____ *
Operating surplus/deficit	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

Money received during your most recently completed fiscal year from:

Individuals
Corporations/Foundations
Federal government
State/Regional/Local government(s)

Do you own or rent your facility? Own Rent

For Planning & Stabilization applicants with budgets over \$200,000 only:

At the end of your most recently completed fiscal year, what were your:

Unrestricted Net Assets
Temporarily Restricted Net Assets
Permanently Restricted Net Assets
Market Value of Endowment Fund
Market Value of Cash Reserve Fund

* If there are significant changes in either your expenses or income from one year to the next, explain on a separate sheet.
** Attach a separate sheet to explain plans for reducing a deficit.

NOTE: THE FIGURES LISTED IN THE "MOST RECENTLY COMPLETED FISCAL YEAR" COLUMN ARE SUBJECT TO AUDIT OR OTHER VERIFICATION BY THE ARTS ENDOWMENT.



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**Applicant (official IRS name):**

Refer to the "Special Application Requirements" for your discipline/field and "How to Submit Work Samples" on page 54. List the work(s) submitted as part of your application package in the order in which you want them reviewed.

Work Sample A

1. Format (e.g., slides, books/publications, audio cassette, DAT, compact disc, CD-ROM, VHS, 3/4" video cassette):

2a. For Audio/Video Samples:

Description of contents/selection(s) [where appropriate, indicate: title of work/artists/choreographer/composer/conductor/filmmaker]:

Length of selection(s):

Real elapsed time of selection(s):

Length of complete work (not applicable for music or opera projects):

Date work completed (not applicable for music or opera projects):

2b. For Publications [where appropriate, indicate: title/author/editor/issue no. of magazine/volume]:

3. Production credit(s) for audio/video/CD-ROM, if relevant:

4. Special Instructions. (Include cue information. Provide track numbers for compact discs.)

5. Relationship of work sample to the proposed project; or for Planning & Stabilization, to the organization:

Work Sample B

1. Format (e.g., slides, books/publications, audio cassette, DAT, compact disc, CD-ROM, VHS, 3/4" video cassette):

2a. For Audio/Video Samples:

Description of contents/selection(s) [where appropriate, indicate: title of work/artists/choreographer/composer/conductor/filmmaker]:

Length of selection(s):

Real elapsed time of selection(s):

Length of complete work (not applicable for music or opera projects):

Date work completed (not applicable for music or opera projects):

2b. For Publications [where appropriate, indicate: title/author/editor/issue no. of magazine/volume]:

3. Production credit(s) for audio/video/CD-ROM, if relevant:

4. Special Instructions. (Include cue information. Provide track numbers for compact discs.)

5. Relationship of work sample to the proposed project; or for Planning & Stabilization, to the organization:



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CONSORTIUM MEMBER INFORMATION FORM

95

Lead Applicant for Consortium (official IRS name): _____

To be completed by each member of a consortium, except the lead applicant.
Remember, there may be no more than 10 members.

Official IRS name: _____

Name (Also Known As): _____

Address: _____

City/State/Zip: _____

Contact (Mr/s, last, first): _____

Title: _____

Contact's Daytime Telephone & Extension: _____

Fax Number: _____

Organization's Total Operating Expenses for the most recently completed fiscal year: \$ _____

Summarize the mission/purpose of your organization (3 line maximum):
To: _____

Describe your organization's involvement in planning and executing the proposed consortium project. Discuss your organization's responsibilities in the areas of programming, management, and finances, including any responsibilities for matching the Endowment's grant. Be specific; do not provide a general statement of support for the project.
(Use this space only.)

We certify that the information contained in this statement is correct and that our organizations are committed to the success of this project.

Consortium Member Director (please type)

/

Signature of Consortium Member Director/Date

Lead Applicant's Director (please type)

/

Signature of Lead Applicant's Director/Date



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**Applicant (official IRS name):**

The data that is requested on this page is used for the development of statistical profiles on the organizations and projects that the Arts Endowment supports. Your responses here will **not** be used in the review of your application and are **not** a precondition of award. **However, your assistance in providing accurate and complete information is greatly appreciated.**

Information on the Applicant Organization:

(If you are a fiscal agent or a parent organization applying on behalf of a component, this information should refer to the group or component on whose behalf you are applying.)

Organization's Date of Incorporation (month-day-year):

Applicant Status (see page 69):

Applicant Institution (see page 70):

Organization Discipline (see page 71):

Organization Race/Ethnicity (see page 71): Board Admin. Staff Audience

Organization's Total Operating Expenses (for the most recently completed fiscal year): \$

Accessibility/Individuals with Disabilities (see page 72): Board Staff Artists

Accessibility/Older Adults (see page 72): Board Staff Artists

Project Characterization:

(This information should refer to the specific project for which you are requesting support under these guidelines.)

Project/Arts Education (see page 72):

Project/Presenting and Touring (see page 73):

Project/International Activity (see page 73):

Project/Descriptors (see page 73):



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Assurance of Compliance

By signing the application form, the Applicant assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related Arts Endowment regulations. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance.

This Assurance of Compliance covers all financial assistance from the Arts Endowment in connection with any grant that may be awarded as a result of this application. The United States government has the right to seek judicial enforcement of this assurance, which is binding on the Applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

1. Nondiscrimination Statutes

The Applicant certifies that, in undertaking any activities with grant funds, it will not discriminate:

- On the grounds of race, color, or national origin, in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).
- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA") (42 U.S.C. 12101-12213). [Grantees must have on file a self-evaluation of their 504 compliance. A Program Evaluation Workbook, which may be used for this purpose, is available from the Arts Endowment's Office of Civil Rights and is sent to all grantees.]
- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).
- On the basis of sex, under any education activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

The Applicant must comply with the above nondiscrimination regulations during the period of any Federal support. There are two exceptions for property acquired with Endowment assistance. The grantee must comply for as long as it retains ownership or possession of personal property (such as equipment) or for as long as real property (land and buildings) is used for the grant or similar purposes.

For copies of the nondiscrimination regulations identified above, and for any questions relating to compliance, contact the Office of Civil Rights (see below).

For information and technical assistance geared to making your facilities and programs accessible to individuals with disabilities, contact:

Office for AccessAbility
Room 726
National Endowment for the Arts
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001
(202/682-5532 or 202/682-5496 Voice/T.T.)

Office of Civil Rights
Room 812
National Endowment for the Arts
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001
(202/682-5454 or 202/682-5695 Voice/T.T.)

2. Regulations relating to Debarment and Suspension (45 C.F.R. pt. 1154)

The Applicant certifies that neither it nor its principals:

- (a) Is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any Federal department or agency.

Debarment is an action taken by a Federal agency to exclude an organization or an individual from participating in a Federal grant or contract.

Suspension of a grant is an action taken by a Federal sponsoring agency to suspend temporarily the Federal sponsorship pending (1) corrective action by the grantee, or (2) a decision by the Federal agency to terminate the grant. An individual or organization debarred or suspended by one Federal agency is automatically debarred or suspended by all Federal agencies.

- (b) Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (Federal, state, or local) transaction or a contract under a public transaction; for violation of Federal or state antitrust statutes; or for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- (c) Is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the offenses in paragraph (b) above.
- (d) Has, within the three years preceding the submission of this application, had any public transactions terminated for cause or default.

Any Applicant that is unable to certify to any of the statements in paragraphs (a) through (d) above must include an explanation as part of its application package.

The Applicant further agrees to incorporate these requirements in all solicitations, subgrants, contracts, and other transactions (excluding those under \$25,000) that are issued as part of the grant activity.

3. The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154)

Organizations, generally within 30 days of receiving a grant, are required to:

- (a) **Publish a statement notifying employees** that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.)
- (b) **Establish a drug-free awareness program.** This program must inform employees about the dangers of drug abuse in the workplace; the grantee's policy of maintaining a drug-free workplace; any available drug counseling, rehabilitation, and employee assistance programs; and the penalties that might be imposed for workplace drug abuse violations.
- (c) **Give a copy of the statement in paragraph (a) to each employee** who will be involved in grant-supported activities.
- (d) **Notify such employees** that they are expected to abide by the terms of the statement in paragraph (a) and that **any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer**, in writing, no later than five calendar days after such a conviction. **The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer**, in writing, within ten calendar days of receiving any such notice. This notice must include the convicted individual's position title and the grant number(s) of each affected grant.
- (e) Take one of the following actions within 30 calendar days of receiving notice of a criminal drug conviction: (1) **take appropriate personnel action** against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) **require** the employee to participate satisfactorily in a **drug abuse assistance or rehabilitation program** that has been approved for such purposes by a Federal, state, or local health, law enforcement, or other appropriate agency.
- (f) Make a good faith effort to continue to maintain a drug-free workplace through implementation of the above.

For the purposes of the drug-free workplace requirements above, "employee" means all employees, including consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. In line with these requirements, the grantee should maintain on file the address of each site where work is performed under the grant.

4. The Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001, 3001 note, 3002-3013)

In all future inquiries, refer to your application number which is:

Application Number--Arts Endowment Use Only

Date

10/8

Please address the reverse side of this card to yourself. Include this card as the first item in your application package. It will be returned to you to acknowledge receipt of your application at the National Endowment for the Arts.

(cut here)



recycled paper

Guidelines & Panel Operations: jlm/acj/jrb



National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001

Official Business